

THE GEORGE WASHINGTON UNIVERSITY  
Washington, DC

MINUTES OF THE REGULAR MEETING  
OF THE FACULTY SENATE HELD ON  
FEBRUARY 10, 1998, IN THE ELLIOTT  
ROOM, UNIVERSITY CLUB, MARVIN CENTER

The meeting was called to order by Vice President Lehman at  
8:12 a.m.

Present: Vice President Lehman, Registrar Selinsky,  
and Parliamentarian Pagel; Deans Kee and  
Riegelman; Professors Boswell, Castleberry,  
Cawley, Granger, Griffith, Gupta, Harrington,  
Johnston, Kahn, Maggs, McAleavey, Robinson,  
Solomon, Wirtz, Yezer, and Youens

Absent: President Trachtenberg, Deans Friedenthal, Futrell,  
Harding, Keimowitz, Lefton, Mazzuchi; Professors  
Agnew, Captain, Harrauld, Ludlow, Lynch, Silber,  
Simon, Slaby, Smith, and Sodaro

APPROVAL OF THE MINUTES

The minutes of the regular meeting of January 16, 1998, were  
approved with one correction by Vice President Lehman to the last  
sentence in the third paragraph on page 2, as follows:

"Vice President Lehman pointed out that the department makes  
recommendations for appointments to any programs, ~~but that~~ through  
the dean, ~~or~~ and that he makes the actual appointments to the  
programs; although eventually, the department eventually makes the  
assignments for teaching, etc."

RESOLUTIONS

I. RESOLUTION 97/6, "A RESOLUTION TO ENDORSE A UNIVERSITY POLICY  
ON CONFLICTS OF INTEREST"

On behalf of the Executive Committee, Professor Robinson,  
Chair, moved adoption of Resolution 97/6 and the motion was  
seconded. She reported that the Ad Hoc Committee on a Conflict of  
Interest Policy for Faculty had continued its work as reported at  
the January meeting of the Senate and had now completed its task.  
The proposed Policy, according to Professor Robinson, sets forth  
the circumstances under which conflicts of interest require review,  
and addresses the obligations of both the faculty and the  
University. The issues of consulting and sponsored research are  
also covered. The Policy defines reportable interests and  
transactions, and procedures for addressing Conflicts of Interest  
are outlined. A Disclosure Form appended to the Policy was also  
revised.

Professor Robinson said she thought that the Ad Hoc Committee, which was broadly representative of the faculty, had addressed all of the problems raised quite adequately, and that the feedback which she had received was positive. She added that she thought the proposed Policy was one that the faculty would find acceptable, and which the Senate could pass on to the Academic Affairs Committee of the Board of Trustees, which would vote on February 12th and make a recommendation to the full Board of Trustees for its meeting on February 13th. Professor Robinson then yielded the floor to Professor Johnston so that he could answer any questions the Senate might have.

Professor Boswell expressed support for the Resolution, and he asked if the School Conflicts Consultation Committees mandated in the proposed Policy already existed. Professor Johnston replied that he believed that these would have to be put in place. Vice President Lehman pointed out that the concept of these Consultation Committees already exists under the present Conflict of Interest Policy for Federally Sponsored Research, although they have not been formally put into place since they have not been needed as yet.

Professor Griffith said that one faculty member had raised with him the question of whether or not there was any differentiation in the proposed Policy between earnings that would come under the reportable interest during the academic year, and earnings during the summer. In other words, if a faculty member was on an academic year appointment and thus not on salary for the summer, did that relieve the faculty member of the obligation to report, or would reporting be necessary if his or her income reached a reportable threshold? Professor Johnston responded by saying that he did not think that the proposed Policy draws such a distinction, but he added that earnings are only reportable under the proposed Policy if they are covered under Section III, which requires reporting if there is a tripartite relationship between a faculty member, the University, and an outside entity.

As a point of clarification, Professor Griffith then asked if it is not the reportable amount (of income) by itself that constitutes a matter that must be reported, but a reportable amount in connection with a transaction covered under the proposed Policy. Both Professors Johnston and Robinson agreed with this characterization.

Professor Yezer then drew the attention of the Senate to Section I.A.1. of the proposed Policy, and noted that it did not parallel the provisions of Section II.B. by including the phrase "during the academic year." Thus, a faculty member reading the Policy would have to turn to Section II.B. in order to find this information.



Professor Johnston and Vice President Lehman both agreed that perhaps Section I.A.1. did not specify "during the academic year" because some faculty covered are appointed for terms other than 9 months. Professor Johnston also added that he thought the "one day-a-week rule" was pretty well understood by the faculty.

A discussion followed by Professors Yezer, Harrington, Gupta, and Vice President Lehman upon whether or not Section II.B. or Section I.A.1. should be amended. Professor Harrington made the point that the fundamental principle was that outside commitments should not interfere with a faculty member's University obligations, regardless of a faculty member's term of appointment.

Professor Yezer then said he thought there were one or two points in the proposed Policy where it seemed to deal with issues of scholarly integrity rather than solely with financial issues, and he pointed to Section I.A.2. which refers to "financial incentives distorting or shaping scholarly activity." He observed that it is not unusual for outside financial incentives to distort a faculty member's scholarly activity, and since this was virtually universal, the proposed Policy should not proscribe it. He then moved that the words "or receives outside financial incentives that distort scholarly activity or the shaping of academic goals" be deleted in Section I.A.2. of the proposed Policy. The motion was seconded.

Professor Johnston drew the attention of the Senate to the lead in to the paragraph in question, and pointed out that that portion of the Policy contained general descriptions of the sort of things that might require review and oversight; it did not define these descriptions as automatic conflicts of interest. He added that he was satisfied that the Ad Hoc Committee was reassured that these provisions pertained to possibilities rather than specificities. Professor Robinson agreed with Professor Johnston that the provisions in question were examples of situations which might require review and oversight, and added that the Ad Hoc Committee had tried to include examples in the Policy that were logical and illustrative.

Professor Kahn commented that the broad impact of this section was to discuss financial incentives which might improperly affect scholarly activity. Since no one could argue that financial incentives have no connection to scholarly activity (faculty are being paid a salary), he said that it would only be situations that improperly affect or distort scholarly activity that should be of concern.

Professor Griffith agreed with Professor Kahn, saying it appeared to him that the term "distort" seemed to be underpinning much of the discussion. He thought it was fairly clear that the intent of the provision would pertain to some financial incentive that would, for example, induce a scholar to come to a pre-formed

conclusion, and thus be a distortion of scholarly activity.

The question was called on the Yezer amendment, and the amendment failed.

The question was then called on the original motion, and Resolution 97/6 was adopted. (Resolution 97/6, with Policy, is attached.)

Professor Griffith said he thought the Senate owed a vote of gratitude and perhaps a round of applause to all of those who had worked very hard to turn the Conflicts of Interest Policy into a document acceptable to the Senate. Professor Johnston also noted that Professor Arthur Wilmarth of the GW Law School had played a major role in revision of the Policy, and had been very helpful in the Ad Hoc Committee's work. The Senate affirmed these sentiments with a round of applause.

II. RESOLUTION 97/9, "A RESOLUTION REGARDING THE ROLE OF THE AD HOC FACULTY COMMITTEE ON THE MOUNT VERNON CAMPUS OF THE GEORGE WASHINGTON UNIVERSITY"

On behalf of the Executive Committee, Professor Robinson, Chair, moved adoption of Resolution 97/9, and the motion was seconded. She reminded the Senate that the Executive Committee had appointed a special Ad Hoc Committee to be available for consultation on issues that might arise in establishing academic programs on the Mount Vernon campus, and she noted that Resolution 97/9 formalizes the need for consultation in accordance with the Faculty Code. Vice President Lehman expressed his support for the Resolution and said he welcomed faculty participation.

Professor Harrington said that he thought it would be a good idea for the Senate to formally elect three faculty members to the Ad Hoc Committee, and both Professor Robinson and Vice President Lehman agreed that it would be appropriate to place election of the faculty members on the agenda for the next Executive Committee meeting.

Professor Yezer asked that the Ad Hoc Committee provide reports to the Senate on an ongoing basis so that everyone would know about developments at the Mount Vernon campus. Professor Robinson said she agreed that this could, and should, be done, and that, further, questions from faculty about Mount Vernon should be addressed to the Ad Hoc group.

Professor McAleavey expressed some reservations about the Resolution by saying that he thought perhaps it did not go far enough in ensuring faculty participation in decisions concerning

Mount Vernon. It seemed to him that, while plans for academic programs were being developed at Mount Vernon, brochures were being simultaneously printed to recruit students for the very programs that were supposed to be under development. Professor McAleavey agreed with Professor Yezer's sentiments in pointing out the need for timely information.

Professor Robinson gave some background on the work of the joint committee, appointed in Spring, 1997, which consisted of faculty from Mount Vernon College and The George Washington University, and had been established to make suggestions concerning joint programs that might be established at Mount Vernon. She said that this Committee had not gone beyond the stage of making initial recommendations. She noted that this joint committee had been replaced by an administrative committee and that the former was not involved further in administrative plans for Mount Vernon programs. She stressed that to ensure orderly and systematic faculty contact was a primary reason for adoption of Resolution 97/9.

Vice President Lehman pointed out that he had reported at a previous Senate meeting that Associate Vice President Craig Linebaugh and Associate Vice President Don Boselovic would be developing a financial model for The George Washington University at Mount Vernon College that is to be presented to the Board of Trustees at its February meeting. That working group had involved a number of people with representation from each of the schools, plus some additional faculty. He further said that the model was reported at a meeting of the Vice Presidents and Deans and at that meeting he thought it was also reported that brochures were to be produced describing the special programs for recruitment purposes. Professor Johnston reiterated the need for faculty involvement in academic decisions concerning Mount Vernon and he hoped the apparent breakdown in communications could be remedied. Vice President Lehman then agreed to make a regular report to the Faculty Senate concerning developments at the Mount Vernon campus at each regular Senate meeting.

Professor Yezer then asked Professor Robinson what sort of process had been followed in the Art Department in establishing the Interior Design program, and she described in some detail her faculty's participation in these decisions. Dean Kee also described Professor Lois Graff's work on the School of Business and Public Management's transition committee and on their efforts to establish a program at the Mount Vernon campus.

Professor Griffith noted that the Fiscal Planning and Budgeting Committee, had been briefed by Associate Vice President Don Boselovic on financial aspects of the Mount Vernon situation. Although Professor Griffith said that the views expressed were his own and not those of his Committee since they had not had an opportunity to express a formal viewpoint, he said that he was

struck by some aspects of that report. He said the Committee had been told that there would be a continued deficit at the end of this year, projected to be about \$4.5 million. What he had not realized, he said, was that there were deficits of approximately the same amount in the two preceding fiscal years, so that at the end of this year, the operating deficit for the three years of involvement with Mount Vernon would amount to about \$13 million. With a projected deficit of \$5 million expected in FY99, the deficit would approach \$18 million.

Professor Griffith then said he thought that the Senate had been assured that funding for operations at Mount Vernon would be taken from GW's endowment funds, but that he was surprised to discover that the \$6.5 million used to assume Mount Vernon's initial debt was not taken from endowment funds, but had been borrowed and this debt was being repaid out of current operating funds. He emphasized that the University will have to make some very tough budget decisions this year in order to fund academic expenditures appropriately.

The question was then called on the original motion, and Resolution 97/9 was adopted unanimously. (Resolution 97/9 is attached.)

#### INTRODUCTION OF RESOLUTIONS

No resolutions were introduced.

#### ANNUAL REPORT ON RECRUITMENT AND RETENTION OF WOMEN FACULTY AND FACULTY OF COLOR

The Annual Report on the Recruitment and Retention of Women Faculty and Faculty of Color was distributed by Vice President Lehman. He extended his appreciation to Assistant Vice Presidents Peggye Cohen and Annie Wooldridge, Assistant Director of Institutional Research Ellen Peters, and Executive Coordinator Margo Carter for their assistance in preparing this Report. (The Report is attached.)

Vice President Lehman then presented an overview of data contained in the Report, which summarizes the University's continuing efforts to create a diversified professoriate. Over the long term the University's efforts to recruit and retain women faculty and faculty of color has resulted in an increased number of these faculty, although over the past year there was a slight decrease. The University has continuing work to do in improving the representation of women faculty and faculty of color. Looking to the future, what the Report terms "A Four-A Framework for Cultivating a Diverse Professoriate" proposes a four step initiative by the Vice President for Academic Affairs. This



process will engage deans, department chairs, faculty, and relevant administrative groups in the discussion of a structure for optimizing successful outcomes.

Vice President Lehman then pointed out several initiatives undertaken vis-a-vis the campus climate. The Committee on the Status of Women Faculty and Librarians and the Ad Hoc Committee on Minority Faculty have concluded their work on a survey of faculty opinions on the "climate" for professional life at the University, and their report should be available for circulation to faculty within a month. The University also offers several services to assist faculty and staff with resources and counseling for child and/or elder care needs. Bright Horizons Day Care Center is now operational. In addition, in early Fall, 1997, a document describing procedures for handling sexual harassment complaints received final approval; this document, along with an informational pamphlet will soon be distributed. A University-wide review of salary equity was completed in May, 1997, and it is expected that the report on this study will also soon be made available. In the Graduate School of Education and Human Development, a special salary equity study was completed, resulting in equity adjustments for several faculty. Finally, he said, work continues on a second draft of guidelines for faculty recruitment.

Professor Gupta asked if the numbers in the Annual Report indicated that the University is hiring fewer tenure-track faculty members, and making more limited service appointments. Vice President Lehman said that he did not think there was evidence of that.

Professor Griffith expressed surprise that the number of full-time faculty seems to have declined over the past year and he asked if Vice President Lehman could shed some light on that. Vice President Lehman responded that figures in the Report included statistics for the whole University, and that, in particular, there was a large, if not disproportionate, number of departures in the Medical Center.

Professor McAleavey said he thought that data about part-time faculty should be included in the Annual Report, and Professors Granger, Robinson, and Youens agreed. A discussion followed by Professors Wirtz, Griffith, Yezer, and Vice President Lehman on how this information, broken down by department and school, might best be included.

Following the discussion, Professor Phyllis Langton, Chair of the Subcommittee of the Columbian School Dean's Council on Recruitment and Retention of Minority Faculty and Women, introduced herself and described the subcommittee's work.

GENERAL BUSINESS

I. REPORT OF THE EXECUTIVE COMMITTEE

The Report of the Executive Committee by Professor Robinson, Chair, is enclosed.

II. INTERIM REPORTS OF SENATE COMMITTEE CHAIRS

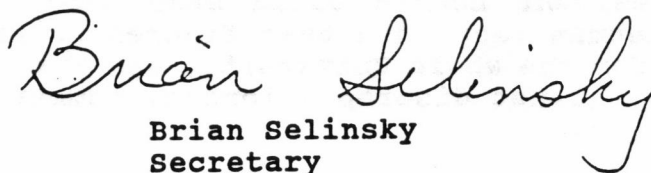
There were no Interim Reports.

BRIEF STATEMENTS (AND QUESTIONS)

Registrar Selinsky advised the Senate that he had been appointed February 9, 1998, as official Registrar of Mount Vernon College, which occurred as a result of professional staff resignations there. He added that the University would soon recruit an Associate Registrar to be housed at the Mount Vernon campus, as well as an Assistant Registrar, in order to discharge duties of the several full-and part-time personnel that had been performing these functions at Mount Vernon. In conclusion, he added that his office would have assumed these functions about a year and a half from now if the resignations had not occurred.

ADJOURNMENT

Upon motion made and seconded, the meeting was adjourned by Vice President Lehman at 9:35 a.m.

  
Brian Selinsky  
Secretary

A RESOLUTION TO ENDORSE A UNIVERSITY POLICY ON CONFLICTS OF INTEREST  
(97/6)

WHEREAS, it is in the best interest of The George Washington University to have a policy on conflicts of interest; and

WHEREAS, it is desirable for both the faculty and the University to avoid, whenever possible, such problems before they occur; and

WHEREAS, the Board of Trustees of The George Washington University requested that the Faculty Senate review and make recommendations with respect to the 1997 Conflicts of Interest Policy, as revised by the Academic Affairs Committee of the Board of Trustees; and

WHEREAS, a faculty committee working with representatives of the Board of Trustees has produced the requested and further revised document; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

- I. That the Senate endorses the attached policy statement on conflicts of interest; and
- II. That the Senate further recommends that, upon adoption by the University, this policy be incorporated by reference in the Faculty Handbook and that this policy be printed as a separate Conflicts of Interest pamphlet for distribution to the faculty.

Executive Committee of the Faculty Senate  
January 23, 1998

Adopted February 10, 1998

## POLICY ON CONFLICTS OF INTEREST AND COMMITMENT

### I. GENERAL STATEMENT

#### A. Underlying principles.

The Faculty Code states, "faculty shall have a primary responsibility of devoting their time, thought, and energy to service of the University." Of no less importance is a faculty member's responsibility to further his or her own professional development and the goals of his or her professional discipline. Normally a faculty member's participation in activities of governmental, industrial, and professional institutions is consistent with academic interests of the University and the faculty member.

Conflicts of interest may occur when there is a divergence between a faculty member's private interests and professional service to the University. Conflicts of interest differ in nature and degree. The goal of any institution cannot be to eliminate all conflicts of interest. Rather it should be to establish boundaries within which conflicts of interest are tolerable and beyond which they are intolerable; processes for review of actual and apparent conflicts of interest; and appropriate mechanisms for management of tolerable conflicts of interest.

Faculty activities shall be conducted in a manner that avoids inappropriate conflicts of interest. As specifically described in Sections II and III, conflicts of interest may require review and oversight when:

1. the University is deprived of appropriate (compensated) time and effort of the faculty member due to external commitments (for example, when a faculty member exceeds the limitations of the "one-day-a-week" rule set forth in Section II.B.; or accepts obligations that may frequently conflict with scheduled classes or other academic responsibilities);
2. substantial use is made of human and material resources of the University for non-University purposes (for example, when a faculty member inappropriately uses University equipment, supplies, personnel, and other facilities and resources for activities that yield financial benefit to the faculty member or a third party; or receives outside financial incentives that distort scholarly activity or the shaping of academic goals; or facilitates the erroneous impression that the University endorses or is connected to an outside activity);



3. the faculty member's extra-University financial involvements affect, or reasonably appear to have a significant potential to affect, his or her academic responsibilities, or compromise basic scholarly activity or freedom of action (for example, when a faculty member hires a family member; or enters into an agreement to limit or delay the free publication, or access to the results, of sponsored research, other than according to normal University practice (as in the case of patents); or has a reportable interest in a transaction described in Section III.B.); or
4. the University is deprived of appropriate potential financial gain (for example, when a faculty member inappropriately seeks to obtain research support in a manner that substantially undermines responsibilities of the Office of Sponsored Research; or has an outside commitment that provides an individual or organization, other than the University, intellectual or tangible property rights, such as patent ownership or license rights, that ought to accrue to the University).

**B. Nature of policy.** Because precise boundaries are difficult to establish without reference to specific facts, it is prudent to establish a flexible, not formulaic, approach based on principles of fairness and trust. Fairness is advanced by policies firm enough to provide clear guidance and consistency, yet sufficiently flexible to accommodate diversity of discipline and unique circumstance. Trust is advanced by appropriate disclosure and discussion. In light of these principles, this Policy has two essential elements: (1) Faculty are provided a mechanism to report and seek guidance concerning significant actual, potential, and apparent conflicts of interest, thus to ensure appropriate disclosure and that the interests of the faculty member and the University are well served. To promote fairness, all faculty are required to report, as set forth in this Policy. (2) Each school shall administer in accordance with this Policy: a procedure for annual faculty disclosure of reportable actual, potential, and apparent conflicts of interest; disclosure by faculty of information pertinent to such conflicts; and a procedure for review and resolution of any lack of agreement arising from disclosure of such conflicts.

**C. Obligation of University.** In its promotion and administration of research and otherwise, the University shall be sensitive to prospective conflicts of interest involving faculty, including, for example, with respect to (1) the independence of faculty to determine subjects of research and scholarship and (2) enabling faculty to report accurately their time and effort.

**D. "Faculty" defined.** For purposes solely of this Policy, the terms "faculty" and "faculty member" are (1) as defined in the Faculty Code, pages 2 and 3 section I, subsection B items 1, 3, and 4, and also refer to (2) any other person responsible for the design, conduct or reporting of externally sponsored University research.

## II. CONSULTING, OTHER PROFESSIONAL ACTIVITIES, AND RESEARCH SUPPORT FROM OUTSIDE ENTITIES

A. The merit of external involvements. Increasingly, industry and government rely on university faculties for advice. Such practical contributions from higher education institutions to the nonacademic world have provided many faculty members the opportunity to use their knowledge and talents constructively, to strengthen their competence through a greater variety of professional experiences, to enhance the faculty member's and the University's scholarly reputation, and to serve the public interest.

B. "One-day-a-week" rule. A full-time faculty member may spend the equivalent of up to one working day a week during the academic year on outside consulting and other professional activities, provided such commitments do not interfere with University obligations. Payments for such activities are negotiated by the faculty member directly and do not involve the University. This privilege is not extended to research faculty members paid wholly from research grants or contracts, full-time physician faculty members in the Medical Center who are participants in Medical Faculty Associates, or other physician faculty members whose University contracts preclude such activities.

C. Administration of the rule. The department chair (or, where applicable, head of other pertinent academic unit) and the dean are responsible for ensuring compliance with this Policy and that no faculty member abuses this privilege. In particular, faculty involved in private income-producing activities shall not, absent prior written approval by the Vice President for Academic Affairs ("Vice President"), for such purposes substantially utilize University space or resources or the services of secretaries or other University staff, provided that this Policy does not prohibit incidental use of personal office space, local telephone, library resources, and personal computer equipment.

D. Need for written sponsored-research agreements. Before the University enters into any arrangement in which an entity outside the University provides support for research, a clearly stated written agreement should be negotiated that sets forth the faculty member's, the University's, and the external entity's expectations. Funding amounts and other financial arrangements, realistic timetables for mutually agreed objectives, and intellectual property agreements should be in writing before work begins. If the research project involves or may potentially involve a product or service with commercial potential, that prospect must be made known to all parties in advance.

## III. REPORTABLE INTERESTS

A. Reportable interests (i.e., "significant financial interests") defined. This Section III and the disclosure requirements contained in Section IV apply only to transactions and relationships, described in Section III.B, that involve a faculty

member or immediate family member, the University, and an outside entity. For purposes of this Policy, "immediate family member" means spouse and dependent children, and "significant financial interest" means (1) any stock, stock option, or similar ownership interest in the outside entity by the faculty member that, alone or together with interests of immediate family members, is valued at least at the lesser of \$10,000 or five percent of the total ownership interests in the outside entity, excluding any interest arising solely by reason of investment by a mutual, pension, or other institutional investment fund over which neither the faculty member nor an immediate family member exercises control; or (2) receipt, individually or collectively by a faculty member and immediate family members, of, or the right or expectation to receive, income, whether in the form of a fee (e.g., consulting), salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology or other processes or products, rent, capital gain, real or personal property, or any other form of compensation, or any combination thereof, that over the last 12 months exceeded or over the next 12 months is expected to exceed \$10,000 in income of all types; or (3) that the faculty member or immediate family member provides services as a principal investigator for, or holds a management position in, an outside entity.

**B. Transactions covered.** Before the University enters into any of the following arrangements, and annually thereafter, a faculty member described in paragraphs 1-5 below must submit to the school dean a written disclosure of any current or pending relationship of such faculty member or immediate family member with the outside entity, the relationship of the proposed University activity to the entity, and means by which the faculty member will ensure separation of his or her University role from the faculty member's or immediate family member's role or interest in the entity:

1. Gifts to the University of cash or property that will be under the control, or will directly support the teaching or research activities, of a faculty member from an outside entity in which the faculty member or immediate family member has a significant financial interest;
2. sponsored-project proposals as to which the involved faculty member or immediate family member has a significant financial interest in the proposed sponsor or in a proposed subcontractor, vendor or collaborator;
3. University technology-licensing arrangements with an outside entity in which the faculty inventor or immediate family member has a significant financial interest;
4. procurement of materials or services from an outside entity in which the faculty member or immediate family member has a significant financial interest, if the faculty member is personally involved in or

has the ability to influence the formation or implementation of the procurement transaction; and

5. submission to an external sponsor of an application for funding of University research in the design, conduct or reporting of which a faculty member plans to participate that would reasonably appear to affect the faculty member's or immediate family member's interest in an outside entity or would reasonably appear to affect the entity's financial interests.

A faculty member who seeks funding from or who works on a project funded by an external sponsor must comply with that sponsor's additional requirements, if any, related to disclosure, management, and avoidance of conflicts of interest.

**C. Ongoing and elective disclosures.** In addition to disclosures required under Section III.B., faculty members shall disclose to the department chair (or, where applicable, head of other pertinent academic unit) or dean on an ad hoc basis current or prospective situations that are likely to raise questions of reportable conflict of interest under this Policy, including any new reportable significant financial interests, as soon as such situations become known to the faculty member. In addition, a faculty member may elect to disclose voluntarily other financial benefit to the faculty member or immediate family member, related to an existing or contemplated relationship between the University and an outside entity with which the faculty member or immediate family member is or expects to be involved, if the faculty member deems it desirable to seek review in accordance with the procedures specified in Section IV.

#### **IV. PROCEDURES FOR REVIEW**

##### **A. Review of disclosure form; management of disclosed conflicts.**

1. Faculty members shall supply the annual and ad hoc disclosures required by Section III on the annexed Disclosure Form, for confidential review by the Administration. Each dean shall forward to the Vice President a copy of the faculty disclosure forms, any related material submitted by a faculty member, and the dean's recommendation for action.
2. If the dean, with the concurrence of the Vice President, determines that the conduct disclosed is permissible under this Policy, the faculty member shall be so informed in writing. Guidance on types of conduct approved shall be provided the faculty from time to time, without identifying faculty members who received approval.
3. If the dean or the Vice President determines that the conduct may present an actual conflict of interest, or reasonably appears to present



a significant potential for such a conflict of interest, within the scope of this Policy, conditions or restrictions to manage or prohibit the conflict, agreeable to the Vice President, may be imposed. Such conditions or restrictions may include, but are not limited to: Public disclosure of significant financial interests; monitoring of research by independent reviewers; modification of the research plan; disqualification from participation in all or part of an externally funded research project; divestiture of significant financial interests; and severance of relationships that create actual or reasonably apparent conflicts of interest.

4. It is not the object of this Policy to discourage outside activities by faculty that present no actual or reasonably apparent conflict of interest within the scope of this Policy. Instead, the review process is designed to allow faculty members to undertake permissible activities without concern about later criticism, to provide the University accurate information about those faculty activities, and to be fair to all involved.

**B. Procedures for resolving disputes about conflicts.**

1. If a dean learns from a faculty member or otherwise of conduct the dean believes presents a significant question under this Policy, the dean should discuss the conduct with the faculty member; shall relate his or her findings to the Vice President, and subject to the concurrence of the Vice President shall advise the faculty member whether the conduct (a) is permissible under this Policy without conditions or restrictions; (b) may be undertaken subject to conditions or restrictions as described in Section IV.A.3 above; (c) or should cease, subject to further review. If the dean or Vice President determines that conditions or restrictions should be imposed, the faculty member shall, as the case may be, cease the conduct, accept the conditions or restrictions agreeable to the Vice President, or seek review of the matter by the school's Conflicts Consultation Committee.
2. Any member of the University community ("Complainant") may bring directly to the attention of a school's Committee a probative and not frivolous matter alleged to be reportable under this Policy. A faculty member whose activity has been questioned shall be entitled to know the identity of the person or persons bringing such allegations to the Committee and the full extent of the allegations.
3. A school's Conflicts Consultation Committee shall be composed of at least five faculty members of the school, elected, ordinarily annually, by the faculty of the school. The Committee's function shall be to

conduct a hearing if necessary, to make written findings about any disputed facts, and to write a reasoned recommendation as to whether the conduct entails a reportable conflict of interest under this Policy and whether the conduct may be undertaken subject to conditions or restrictions.

4. The dean, the Vice President, the Complainant or the faculty member may consult a member of the Conflicts Consultation Committee informally, with that member's consent, before the matter is referred to it, to discuss whether a given activity would entail a reportable conflict of interest under this Policy and/or what if any conditions or restrictions would be appropriate, but no such informal advice should bind any party to the process described above. The Committee member who has provided such consultation shall not participate in the hearing or decision.
5. The Vice President shall review the Committee's recommendation, confer with the Dean, and render a formal decision.
6. A faculty member dissatisfied with the Vice President's decision may appeal it to the University Conflicts Resolution Panel ("Panel"), which shall be composed of five faculty members nominated by the Faculty Senate Executive Committee in consultation with the Vice President and elected by the Faculty Senate. Members of the Panel shall ordinarily serve for staggered three-year terms.
7. The Panel shall be bound by the factual findings of the school Conflicts Consultation Committee unless in the judgment of the Panel the school Committee clearly failed to consider important facts submitted to it. Ordinarily there should be no need for a hearing before the University Panel and no augmenting of the factual record.
8. A member of the Panel from the school from whose Committee the appeal is taken may not participate in the appeal. No informal or other ex parte communication with members of the Panel shall be permitted as to a matter that has been or may be brought before the Panel.
9. The Panel shall render its report to the affected faculty member, the dean, and the Vice President. The conclusion of the Panel shall be forwarded to the Administration for final disposition.
10. To the extent that conduct of faculty who are identified in Section I.D.1. is ultimately determined to be impermissible under this Policy, the Vice President may impose sanctions not inconsistent with the substantive and procedural requirements of the Faculty Code.

11. A faculty member whose conduct has been ultimately determined to be permissible under this Policy shall be insulated from school or University sanction for that conduct. However, another faculty member may not rely on an approval that addressed a different faculty member's conduct, as it may have been based on unique circumstances.

**Faculty Member Financial Interest Disclosure**

**Pursuant to The George Washington University Policy on Conflicts of Interest and Commitment**

*(Reportable financial interests are defined in Section III of the University Policy.)*

Faculty Member Name: \_\_\_\_\_

Department/Unit: \_\_\_\_\_

College/Unit: \_\_\_\_\_

I have no reportable financial interest in accordance with Section III of the University Policy.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Or: I am disclosing the following reportable financial interests under Section III of the University Policy and attach supporting documentation (in an envelope marked 'Confidential') that identifies the business enterprise or entity involved and the nature and amount of the interest:

\_\_\_\_\_ Reportable salary or other payment for services.

\_\_\_\_\_ Reportable equity interests.

\_\_\_\_\_ Reportable intellectual property rights.

\_\_\_\_\_ Reportable position in management.

\_\_\_\_\_ Other reportable financial interest.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_



**Endorsements:**

I have reviewed the financial interest disclosure and believe that it will be possible to develop and execute, prior to award if applicable, a Memorandum of Understanding to manage, reduce or eliminate any actual, potential, or apparent conflict of interest; and, therefore, I recommend that the University permit the disclosed arrangement and, if applicable, that the proposal be submitted to the agency at this time.

Additional comments:

Department/Unit Head: \_\_\_\_\_

Signed

\_\_\_\_\_ Date

Additional Comments:

College Dean/Director: \_\_\_\_\_

Signed

\_\_\_\_\_ Date

**A RESOLUTION REGARDING THE ROLE OF THE AD HOC FACULTY  
COMMITTEE ON THE MOUNT VERNON CAMPUS OF THE GEORGE  
WASHINGTON UNIVERSITY (97/9)**

**WHEREAS, the Faculty Code provides that the "faculty shares with the officers of the administration the responsibility for effective operation of the departments and schools and the University as a whole." It further provides that "the regular, active-status faculty plays a role in decisions on the appointment. . .of members of the faculty. . ." and that the faculty is "entitled to an opportunity to make recommendations on proposals concerning the creation, consolidation, or elimination of departments, institutes, or other academic or research units...." (Faculty Code, Sec. IX.A. pp.15-16); and**

**WHEREAS, it is desirable for both faculty and the University to avoid, whenever possible, problems before they occur; and**

**WHEREAS, the Executive Committee of the Faculty Senate has appointed a faculty committee to work with the administration to ensure a smooth transition for students and academic programs;  
NOW, THEREFORE**

**BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE  
WASHINGTON UNIVERSITY**

**That the Faculty Senate calls upon the administration to keep this committee fully informed and to consult, in a timely manner, with the committee on faculty and programmatic plans and actions relating to the Mount Vernon campus of The George Washington University.**

**Executive Committee of the Faculty Senate  
January 23, 1998**

**Adopted February 10, 1998**

# **RECRUITMENT AND RETENTION OF WOMEN FACULTY AND FACULTY OF COLOR**

**Report to the Faculty Senate  
From the  
Office of the Vice President of Academic Affairs  
February 10, 1998**

## **PURPOSE**

In the spirit of Faculty Senate Resolutions 89/13 and 90/7, the purpose of this report is to outline the current status of the recruitment, appointment, promotion, tenure, and retention of, and the climate for, women faculty and faculty of color at the University. This report is provided to inform decisions regarding future activity in these areas.

## **THE STATE OF THE GEORGE WASHINGTON UNIVERSITY**

The data, upon which this and subsequent tables and attachments are based, were provided by the Office of Institutional Research. The data does not include deans, administrators with faculty rank, visiting faculty (except where noted), affiliated faculty, or non-tenure accruing Instructors in SMHS.

## **1997-98 RECRUITMENT ACTIVITY**

In 1996-97, 140 authorized searches (national for regular faculty and modified for some visiting appointments) for appointments effective with the 1997-98 academic year resulted in 106 hires, of which 58 were regular full-time appointments and 48 were visiting appointments. Table 1 and Table 2 provide in detail the outcome of this activity.

**TABLE 1**  
**New Full-Time Faculty**  
**October 1, 1996 through September 30, 1997**

	<b><u>MEN</u></b>		<b><u>WOMEN</u></b>		<b><u>TOTAL</u></b>
White	26		19		45
Black	1		1		2
Asian	7		1		8
Hispanic	1		2		3
<b>TOTAL</b>	<b>35</b>	<b>60.3%</b>	<b>23</b>	<b>39.7%</b>	<b>58</b>
<b>Minorities</b>	<b>9</b>	<b>25.7%</b>	<b>4</b>	<b>17.4%</b>	<b>13 22.4%</b>

**TABLE 2**  
**Visiting Appointments**  
**Academic Year 1997/98**

	<b>MEN</b>		<b>WOMEN</b>		<b>TOTAL</b>	
White	28		14		42	
Black	0		2		2	
Asian	3		0		3	
Hispanic	0		1		1	
<b>TOTAL</b>	<b>31</b>	<b>64.6%</b>	<b>17</b>	<b>35.4%</b>	<b>48</b>	
<b>Minorities</b>	<b>3</b>	<b>9.7%</b>	<b>3</b>	<b>17.6%</b>	<b>6</b>	<b>12.5%</b>

The 58 new, regular full-time faculty joined the existing faculty to create the following profile:

**Table 3**  
**Full-time Faculty and Percent Change Between**  
**Academic Years 1996/97 and 1997/98**

	<u>Men</u>			<u>Women</u>			<u>Total</u>		
	97/98 Number	Change from 96/97 Percent	Number	97/98 Number	Change from 96/97 Percent	Number	97/98 Number	Change from 96/97 Percent	Number
White	591	-2.8%	(17)	224	-8.2%	(20)	815	-4.3%	(37)
Black	10	0.0%	0	17	-15.0%	(3)	27	-10.0%	(3)
Asian	57	9.6%	5	25	8.7%	2	82	9.3%	7
Hispanic	10	11.1%	1	12	9.1%	1	22	10.0%	2
<b>TOTAL</b>	<b>668</b>	<b>-1.6%</b>	<b>(11)</b>	<b>278</b>	<b>-6.7%</b>	<b>(20)</b>	<b>946</b>	<b>-3.2%</b>	<b>(31)</b>
<b>Minorities</b>	<b>77</b>	<b>8.5%</b>	<b>6</b>	<b>54</b>	<b>0.0%</b>	<b>0</b>	<b>131</b>	<b>4.8%</b>	<b>6</b>

As Table 3 shows, the faculty, overall, decreased by 3.2% compared to 1996/97. While the number of faculty of color increased overall (4.8% or 6 faculty members), the number of Black women faculty decreased by 3. Most surprising and disturbing is the 6.7% decrease in the number of women faculty, reversing the earlier trend of an increasing number of women faculty. The majority of women faculty leaving the University resigned for various reasons (e.g., accepted positions elsewhere); 4 women faculty retired, 4 had temporary appointments, 2 moved to part-time, 1 was not reappointed, and 1 was denied tenure.



**Table 4**  
**Full-Time Faculty and Percent Change Between**  
**Academic Years 1988/89 and 1997/98**

	Men			Women			Total		
	97/98 Number	Change from 88/89 Percent	Number	97/98 Number	Change from 88/89 Percent	Number	97/98 Number	Change from 88/89 Percent	Number
White	591	-3.6%	(22)	224	27.3%	48	815	3.3%	26
Black	10	25.0%	2	17	112.5%	9	27	68.8%	11
Asian	57	103.6%	29	25	56.3%	9	82	86.4%	38
Hispanic	10	0.0%	0	12	500.0%	10	22	83.3%	10
<b>TOTAL</b>	<b>668</b>	<b>1.4%</b>	<b>9</b>	<b>278</b>	<b>37.6%</b>	<b>76</b>	<b>946</b>	<b>9.9%</b>	<b>85</b>
<b>Minorities</b>	<b>77</b>	<b>67.4%</b>	<b>31</b>	<b>54</b>	<b>107.7%</b>	<b>28</b>	<b>131</b>	<b>81.9%</b>	<b>59</b>

Table 4 permits us to examine the degree of success (or the need for continued improvement) of our efforts to diversify. While we continue to experience year to year fluctuations in the numbers, it is clear that since 1988-89 the number of women faculty and faculty of color has increased (37.6% or 76 and 81.9% or 59, respectively). However, although we continue to show long-term gains in these numbers, achieving further increases, particularly in the number of Black faculty, presents a considerable challenge.

### FACULTY DEVELOPMENT

The University continues to provide a number of programs and activities in support of the development and retention of GW faculty. These activities include additional, competitive funding for research, the University Teaching Center, new faculty orientation, and the orientation program for new department chairs. The Administration, Council of Deans, Faculty Senate and academic department heads continue to focus attention on such issues as the annual faculty evaluation process, the review and revision of departmental bylaws and criteria for promotion and tenure, and faculty advising and mentoring activities.

Table 5 and Table 6 show that, notwithstanding the existing programs and activities mentioned above, academic administrators, particularly department chairs, must be unrelenting in improving our support of faculty in general and women and faculty of color in particular. Over the past five years, 11 faculty were denied tenure: 3 men, 8 women, and 2 faculty of color. During that same period, 53 faculty left the University prior to their tenure notification date (27 from SMHS): 35 men, 18 women, and 6 faculty of color. While natural attrition (retirement, death, etc.) is to be expected, we do not expect everyone to

get tenure, and some faculty will leave even when all is well, we want to circumvent attrition that may result from support, development, and climate issues. As a result, department chairs should engage faculty in activities that foster a positive department climate and be keen observers of faculty in order to determine and address individual support, guidance, and development needs.

**TABLE 5**  
**Faculty Promoted and Awarded Tenure 1992/93 to 1996/97 (aggregate)**  
**By Race and Sex**

**Promote\*\***

	Male	Female	Total	Minority	Black	Asian	Hispanic
Arts & Sciences*	45	23	68	13	2	9	2
GSEHD	3	11	14	2	1	1	0
SEAS	12	1	13	4	0	4	0
SBPM	14	6	20	4	0	4	0
LAW	5	5	10	1	0	0	1
SMHS	34	28	62	9	2	4	3
SPHHS	1	2	3	1	0	0	1
<b>Total</b>	<b>114</b>	<b>76</b>	<b>190</b>	<b>34</b>	<b>5</b>	<b>22</b>	<b>7</b>

**Awarded Tenure\*\***

	Male	Female	Total	Minority	Black	Asian	Hispanic
Arts & Sciences*	32	15	47	10	2	5	3
GSEHD	3	5	8	1	1	0	0
SEAS	11	4	15	7	0	7	0
SBPM	15	3	18	5	0	4	1
LAW	5	4	9	1	0	0	1
SMHS	16	9	25	3	2	1	0
SPHHS	0	0	0	0	0	0	0
<b>Total</b>	<b>82</b>	<b>40</b>	<b>122</b>	<b>27</b>	<b>5</b>	<b>17</b>	<b>5</b>

\*Arts and Sciences includes both CSAS and ESIA

\*\*Faculty who were tenured and promoted appear in both charts

**TABLE 6**  
**Tenure-Track-Non-Tenured Faculty Terminating 1992/93 to 1996/97**  
**(aggregate)**  
**By Race and Sex**

**Left Before Tenure Notification Date**

	Male	Female	Total	Minority	Black	Asian	Hispanic
Arts & Sciences	11	6	17	2	0	0	2
GSEHD	0	1	1	0	0	0	0
SEAS	6	0	6	0	0	0	0
SBPM	1	1	2	1	0	1	0
LAW	0	0	0	0	0	0	0
SMHS	17	10	27	3	0	1	2
SPHHS	0	0	0	0	0	0	0
<b>Total</b>	<b>35</b>	<b>18</b>	<b>53</b>	<b>6</b>	<b>0</b>	<b>2</b>	<b>4</b>

**FACULTY RETENTION**

Our efforts to diversify the professoriate will not succeed without simultaneously undertaking a serious and major commitment to improve support activities for current faculty. Our best recruitment tool is a satisfied faculty; our best retention plan is one that addresses their problems.

Retention is an issue that will have increasing importance during the next millennium when the changing demographics of the workforce impact higher education. Now is the time to strengthen our continued effort to create a diversified faculty and to develop a University community and support networks that will facilitate a diverse and genuinely collegial faculty.

At the end of the 1996-97 academic year, 91 regular active status faculty left the University. Reasons for termination included death, disability, retirement, completion of temporary appointment, other job opportunities, and non reappointment or denial of tenure.

Included in the total were 48 men and 43 women faculty (with SMHS accounting for the majority of those leaving). The faculty of color leaving the University included 6 Blacks, 3 Asians, and 1 Hispanic. Two (2) Black men left, 1 resigned and 1 retired; 4 Black women left, 3 resigned and 1 was denied tenure. Of the Asian faculty leaving the University, 2 men, and 1 woman resigned. One (1) Hispanic woman resigned.

## INSTITUTIONAL PROFILE

The institutional profile for faculty is presented on the following pages. A more comprehensive display of the data can be found in the attachments to this report. Those attachments should be examined, among other reasons, because they present a disaggregated analysis on a school-by-school basis.

**Table 7**  
**Full-time Faculty by Contract Status**  
**and Percent Change Between**  
**Academic Years 1996/97 and 1997/98**

### Tenured & Tenure-Track Positions Combined

	<b>Men</b>			<b>Women</b>			<b>Total</b>		
	<b>97/98</b>		<b>Change from 96/97</b>	<b>97/98</b>		<b>Change from 96/97</b>	<b>97/98</b>		<b>Change from 96/97</b>
	<b>Number</b>	<b>Percent</b>		<b>Number</b>	<b>Percent</b>		<b>Number</b>	<b>Percent</b>	
White	465	-4.1%	(20)	136	-4.9%	(7)	601	-4.3%	(27)
Black	5	-16.7%	(1)	8	-27.3%	(3)	13	-23.5%	(4)
Asian	47	4.4%	2	13	0.0%	0	60	3.4%	2
Hispanic	6	0.0%	0	7	0.0%	0	13	0.0%	0
<b>TOTAL</b>	<b>523</b>	<b>-3.5%</b>	<b>(19)</b>	<b>164</b>	<b>-5.7%</b>	<b>(10)</b>	<b>687</b>	<b>-4.1%</b>	<b>(29)</b>
<b>Minorities</b>	<b>58</b>	<b>1.8%</b>	<b>1</b>	<b>28</b>	<b>-9.7%</b>	<b>(3)</b>	<b>86</b>	<b>-2.3%</b>	<b>(4)</b>

### Non-Tenure Track

	<b>Men</b>			<b>Women</b>			<b>Total</b>		
	<b>97/98</b>		<b>Change from 96/97</b>	<b>97/98</b>		<b>Change from 96/97</b>	<b>97/98</b>		<b>Change from 96/97</b>
	<b>Number</b>	<b>Percent</b>		<b>Number</b>	<b>Percent</b>		<b>Number</b>	<b>Percent</b>	
White	126	2.4%	3	88	-12.9%	(13)	214	-4.5%	(10)
Black	5	25.0%	1	9	0.0%	0	14	7.7%	1
Asian	10	42.9%	3	12	20.0%	2	22	29.4%	5
Hispanic	4	33.3%	1	5	25.0%	1	9	28.6%	2
<b>TOTAL</b>	<b>145</b>	<b>5.8%</b>	<b>8</b>	<b>114</b>	<b>-8.1%</b>	<b>(10)</b>	<b>259</b>	<b>-0.8%</b>	<b>(2)</b>
<b>Minorities</b>	<b>19</b>	<b>35.7%</b>	<b>5</b>	<b>26</b>	<b>13.0%</b>	<b>3</b>	<b>45</b>	<b>21.6%</b>	<b>8</b>

**Table 8**  
**Full-time Faculty by Rank**  
**and Percent Change Between**  
**Academic Years 1996/97 and 1997/98**

**Senior Ranks - Professor & Associate Professor**

	<b>Men</b>			<b>Women</b>			<b>Total</b>		
	97/98 Number	Change from 96/97 Percent	Number	97/98 Number	Change from 96/97 Percent	Number	97/98 Number	Change from 96/97 Percent	Number
White	484	-1.6%	(8)	137	-2.8%	(4)	621	-1.9%	(12)
Black	6	-14.3%	(1)	10	-9.1%	(1)	16	-11.1%	(2)
Asian	37	8.8%	3	11	22.2%	2	48	11.6%	5
Hispanic	6	0.0%	0	6	0.0%	0	12	0.0%	0
<b>TOTAL</b>	<b>533</b>	<b>-1.1%</b>	<b>(6)</b>	<b>164</b>	<b>-1.8%</b>	<b>(3)</b>	<b>697</b>	<b>-1.3%</b>	<b>(9)</b>
<b>Minorities</b>	<b>49</b>	<b>4.3%</b>	<b>2</b>	<b>27</b>	<b>3.8%</b>	<b>1</b>	<b>76</b>	<b>4.1%</b>	<b>3</b>

**Junior Ranks - Assistant Professor & Instructor**

	<b>Men</b>			<b>Women</b>			<b>Total</b>		
	97/98 Number	Change from 96/97 Percent	Number	97/98 Number	Change from 96/97 Percent	Number	97/98 Number	Change from 96/97 Percent	Number
White	107	-7.8%	(9)	87	-15.5%	(16)	194	-11.4%	(25)
Black	4	33.3%	1	7	-22.2%	(2)	11	-8.3%	(1)
Asian	20	11.1%	2	14	0.0%	0	34	6.3%	2
Hispanic	4	33.3%	1	6	20.0%	1	10	25.0%	2
<b>TOTAL</b>	<b>135</b>	<b>-3.6%</b>	<b>(5)</b>	<b>114</b>	<b>-13.0%</b>	<b>(17)</b>	<b>249</b>	<b>-8.1%</b>	<b>(22)</b>
<b>Minorities</b>	<b>28</b>	<b>16.7%</b>	<b>4</b>	<b>27</b>	<b>-3.6%</b>	<b>(1)</b>	<b>55</b>	<b>5.8%</b>	<b>3</b>

The decrease in the number of women faculty and faculty of color seen in Tables 7 and 8 were caused by the following:

- Thirty-five full time white women faculty left the University; 26 resigned, 3 retired, 4 were in terminal positions, 1 was not reappointed and 1 was denied tenure. Additionally 2 moved to part-time.



- Six Black faculty left the University; 1 Black man retired and 1 resigned, 3 Black women resigned and 1 was denied tenure.

Although Tables 7 and 8 show no net changes occurring in the number of Asian and Hispanic faculty, 1 Asian man, 1 Asian woman, and 1 Hispanic woman resigned at the end of the academic year.

As Tables 7 and 8 show(Please also see Attachment 1);

- While 71% of faculty are men, 76% of tenured or tenure track faculty are men, only 56% of the non-tenure track faculty are men. On the other hand, women make up 29% of the faculty, of whom 24% are tenured or tenure track faculty, and a disproportionate 44% are non-tenure track faculty;
- Women faculty (44%) and faculty of color (17%) are over-represented in the non-tenure track positions. A majority, 51%, of non-tenure track faculty are women and/or people of color;
- Of the total number of faculty of color 48% of Black, 73% of Asian, and 59% of Hispanic faculty are either tenured or in tenure track positions;
- Women faculty (46%) and faculty of color (22%) are over-represented in the junior ranks. Combined, these groups of faculty hold 57% of the Assistant/Instructor positions;
- Of the total number of faculty of color, only 12% of Black, 37% of Asian and 9% of Hispanic faculty are either full or associate professors.

The data demonstrate that, although we are making some progress, there is a continuing need to work toward improving the representation of women faculty and faculty of color among the total faculty population, as well as to strive to improve the status of these groups of faculty.

### **INSTITUTIONAL COMMITMENT**

The University remains strongly committed to equal employment opportunity and affirmative action. In light of recent litigation and continued debate about affirmative action, however, it is necessary to restate what we mean by the phrase that appears in all position announcements—*The George Washington University is an Equal Employment Opportunity/Affirmative Action Employer.*

In keeping with the letter and spirit of Federal and District of Columbia laws and the Faculty Code and Handbook, the University does not unlawfully discriminate against any person on the basis of race, color, religion, sex, national origin, age, disability, veteran status, or sexual orientation. This policy of equal opportunity covers all programs, services, policies and procedures of the University including admission to educational programs and employment.

In general, affirmative action is the set of positive steps employers use to promote equal employment opportunity and to eliminate discrimination. At GW, the voluntary efforts we employ to achieve a balanced representation of employees are preventive, proactive, inclusive, representative of our institutional values, and in line with applicable legal standards. Notwithstanding the debate about the meaning and value of affirmative action and what is likely to happen to these policies in the future, we are legally and morally bound to continue to ensure there is no discrimination in employment or education at GW and to make affirmative efforts to develop and/or maintain a diverse professoriate and student body.

GW continues to make progress in diversifying the student body. However, we must refocus and re-energize our efforts to diversify the professoriate. Such diversification is essential because of the following:

- GW draws students from all over the nation and the world. As a result, there is a need for a diverse group of mentors and role models;
- Ultimately, we want to educate students in the broadest sense, including preparing them for life in the working world. Diversity in the classroom broadens students' perspectives and prepares them to work and interact with a variety of individuals and cultures;
- Intellectual diversity, arising from new and different perspectives and life experiences in the classroom and research seminars, many times leads to the creation of new knowledge, even in the sciences;
- A diverse professoriate will become even more essential in the new millennium, around 2010, when it is expected that women will receive significantly more academic degrees than men, and that the nation's population increase will lead to about two million additional 18 to 24-year-old Hispanics and Blacks;
- Last, but by no means least, research has found that direct student exposure to and experience with racial diversity can foster increased tolerance and understanding of differences, greater commitment to social justice, and improved academic success and cognitive development.

These issues have kept us ever sensitive to the need for continued commitment and progress toward diversification of the faculty. In the "Challenges" section of this report, we outline how we might structure our future efforts to refocus our diversification activities.

## **CAMPUS CLIMATE**

In addressing the practices and policies that might make our campus something less than hospitable and, therefore, preclude the full participation of women faculty and faculty of color, the administration has concentrated on the following initiatives:

### **Climate Survey-Report Update**

In February 1996, the Committee in the Status of Women Faculty and Librarians and the Ad Hoc Committee on Minority Faculty, with the support of the Vice President for Academic Affairs and the Faculty Senate surveyed the faculty for their opinions on the "climate" for professional life at the University. The report outlining the findings, conclusions and recommendations will be circulated to the faculty within a month.

### **Child Care--Update**

In an effort to address an important work/family issue, issues that could affect the recruitment and retention of faculty, the University offers several services to assist faculty and staff with resources and counseling for child and/or elder care needs.

Bright Horizons Children's Center provides day care services for children from the age of three months through pre-kindergarten. The center provides quality day care and excellent teacher-to-child ratios. It is conveniently located at 2033 K Street, adjacent to the campus. Bright Horizons also provides back-up child care for children aged 3 months through 12 years, on a space-available basis.

In addition, Child Care counseling provides free assistance to parents, expecting parents, grandparents, guardians, and others relating to a wide range of child care needs. The Elder Care counseling service provides free assistance to employees who may have issues relating to aging parents, grandparents and other relatives.

## **RECOGNITION AND PREVENTION OF SEXUAL HARASSMENT**

Like most universities and other places of business, the University continues to deal with complaints of sexual harassment. Committed to maintaining a positive climate where individuals can pursue their academic and work activities in an atmosphere free from coercion and intimidation, we are determined to work toward alleviating occurrences of sexual harassment. In a continuing effort to educate faculty about their rights and responsibilities regarding this issue, the Vice President for Academic Affairs reissued in

September 1997 information about the University's policy on these issues, guidelines for recognition and prevention, and information on how to handle complaints.

In early Fall 1997, a document describing the procedures for handling sexual harassment complaints received final approval. This document, along with an informational pamphlet, will soon be distributed.

We will continue to take steps to ensure that all academic units properly communicate and the University properly enforces this sexual harassment policy.

## **SALARY EQUITY**

We continue to monitor faculty salaries to identify and correct inequities. Periodic University-wide reviews are conducted by a committee composed of representatives from the Office of Academic Affairs and the Faculty Senate. The most recent University-wide review began in May 1996 and was completed in May 1997. The report that describes the results of this activity will soon be available.

Special salary reviews--those requested by individual faculty members or their deans, are handled on a case-by-case basis. Salaries that warrant an adjustment, pursuant to our current salary administration policy, are adjusted accordingly. During Summer 1997, the administration, in consultation with the relevant dean, made an equity adjustment in one woman faculty member's salary.

During Summer 1997, we completed the second phase of a special salary equity study for the Graduate School of Education and Human Development. Working with the Dean's Office and faculty representatives, using a "Productivity Model" developed for this purpose, we reviewed salaries within ranks, within departments, and within ranks across departments. The result of the reviews in phase I & II was equity adjustments for 10 faculty members; 3 men and 7 women faculty.

## **RECRUITMENT GUIDELINES**

We had hoped to have the guidelines completed by the end of Summer 1997. However, major projects and staff problems forced an adjustment in the time line for the project. We are currently working on the second draft of the document and expect to complete the revisions soon.

## **COMMITTEE ON THE STATUS OF WOMEN FACULTY AND LIBRARIANS**

This Committee was established to identify obstacles to the professional and personal development of women faculty and librarians, and to increase their contributions to the University; to develop and recommend strategies to overcome these obstacles and improve conditions of campus life; and, through the Office of Faculty Recruitment and

Personnel Relations, to collaborate with the Office of Academic Affairs to implement these strategies across the University.

To date, the Committee has held a number of meetings and seminars focusing on such issues as development strategies for women faculty and faculty of color, mentoring and networking, campus climate, and the status of GW women faculty and librarians. The Committee continues to work with women within their respective schools and libraries to share information and solicit issues for University and Committee consideration.

## **CHALLENGES—LOOKING TO THE FUTURE**

A significant implication for any organization in the future continues to be the changing demographics of the workforce. In the next millennium we are likely to face a reduction in population and labor force growth, an aging labor pool, as well as an increase in the number of women in the workforce. People of color and immigrants are the fastest growing component of new entrants into the work force. We must be prepared for these changes.

If we are to thrive in the future, maintaining a distinctive role among the nation's, as well as international universities, administrators and faculty throughout the institution must lend their energies to strengthening a continued effort to create a diversified professoriate. Attaining this goal will require even deeper commitment on the part of all of us because of certain specific changes in external circumstances (i.e., standards set by the Supreme Court for evaluating the constitutionality of affirmative action efforts). To refocus our efforts and reemphasize our commitment we will work with deans and departments and department chairs on a structured process for cultivating a diverse professoriate.

### **A Four-A Framework for Cultivating a Diverse Professoriate**

Effective management and commitment are driving forces behind any successful change effort. To engender better management of our efforts to build and maintain a diverse professoriate, to demonstrate the level of commitment that will increase the likelihood of successful outcomes, we are proposing a four-step initiative: The Attention, Action, Accountability, Assessment Framework for Cultivating a Diverse Professoriate. To develop the specific guidelines for a Four-A framework, the Vice President for Academic Affairs will engage deans, department chairs, faculty, and other relevant administrative groups in the discussion of a structure. The Four-A framework can be tailored to meet defined institutional objectives, legal standards, and the special challenges faced by some schools and departments.

The following description of the 4-A's components highlight why we think they are important to our reemphasis on diversification:

**Attention**—Increased attention to the value of diversity requires that we establish and maintain a fundamental link between diversity and our educational mission. This will call



for enlisting the help of our faculty in identifying and articulating the educational benefits of a diverse professoriate at GW.

Also, included in this component are activities that lead to engaging faculty in discussions about valuing differences and addressing any personal biases and negative stereotypes associated with race and gender.

An intensified oversight and review process at all levels will ensure that we generate and maintain momentum, and remain true to the institution's values and aspirations. Once initiatives are developed and implemented, active leadership from all over the institution will be required for successful outcomes.

**Action**—Deans and department chairs must be actively involved in fully, forcefully, and effectively articulating the value of diversity and the goals and objectives employed to enhance diversity on campus. They must also ensure that faculty have the opportunity to participate in planning activities and are heard in the debate about what to do and how it should be accomplished. Below are a few examples of actions that may be employed in diversification efforts:

**STRATEGIC EMPHASIS:** Diversifying the professoriate must be a strategic initiative. The institution's strategic plan, and those of schools and departments, must serve as guideposts for diversity initiatives by establishing realistic and meaningful diversity priorities. To translate priorities into plans, plans into actions, and actions into results, will require working together to identify and secure resources—existing and new—for realizing our plans and accomplishing results.

**LEADERSHIP:** Working with deans and the Vice President for Academic Affairs, department chairs must play a key leadership role in creating a climate of action and initiating dialogue around specific issues related to diversity in their departments.

**COMMUNICATION:** Clearly and widely publicized initiatives must characterize Four-A activities. Everyone must work to employ every method possible to communicate what we are doing and how it is done. Using group meetings, forums, written communication, etc., we must educate existing faculty, new members, and recruits about the institution's priorities, in general, and our "diversity" priorities in particular.

**DIVERSITY MODELS:** Affirmative Action and diversification attempts have been ongoing at educational and other institutions around the world, including GW, for many years. There is, therefore, no reason we should attempt to "reinvent the wheel." Much could be accomplished by an investigation of what has worked at GW

and other institutions, identifying models of excellence in workplace diversity, and adapting what is realistic and works for GW.

**Accountability**—Intentions and achievements are not always perfectly matched. Therefore, an accountability component is important for ensuring that more than lip service is paid to enhanced diversification efforts. To increase the likelihood that action is taken to realize a diverse professoriate, the regular planning process should, at all levels of academic administration, include a Four-A Plan. Deans and department chairs are accountable for ensuring that plans are developed and implemented in line with institutional values and objectives and for periodically assessing and reporting on performance.

To manage the issue of accountability, the Vice President might first work with relevant constituencies to define what would be satisfactory performance in their areas. Then, if performance falls far short of the goals, use appropriate measures (such as, adjusting financial support or merit increases) to address the issue.

**Assessment**—At the end of a specified period, each level of academic administration should formally compare the results of activity to actual plans. In doing so, they could determine what worked, what did not work, and could then work to revise the plan accordingly. Units that have been successful in meeting their objectives should, in some way, be recognized and rewarded for their efforts.

The Four-A Plans that are developed would be continuous, dynamic and would provide a much needed and consistent structure to our quest for a truly diverse professoriate. For any effort of this nature to succeed requires the commitment and involvement of administrators and faculty. The Four-A approach can also help to structure a much needed dialogue around specific diversity issues and concerns, as well as help to define the basic equal employment opportunity and affirmative action principles by which we will live and operate in the future.

**ATTACHMENT 1**  
**TABLE 9**  
**1997/98 Regular Full-time Faculty**

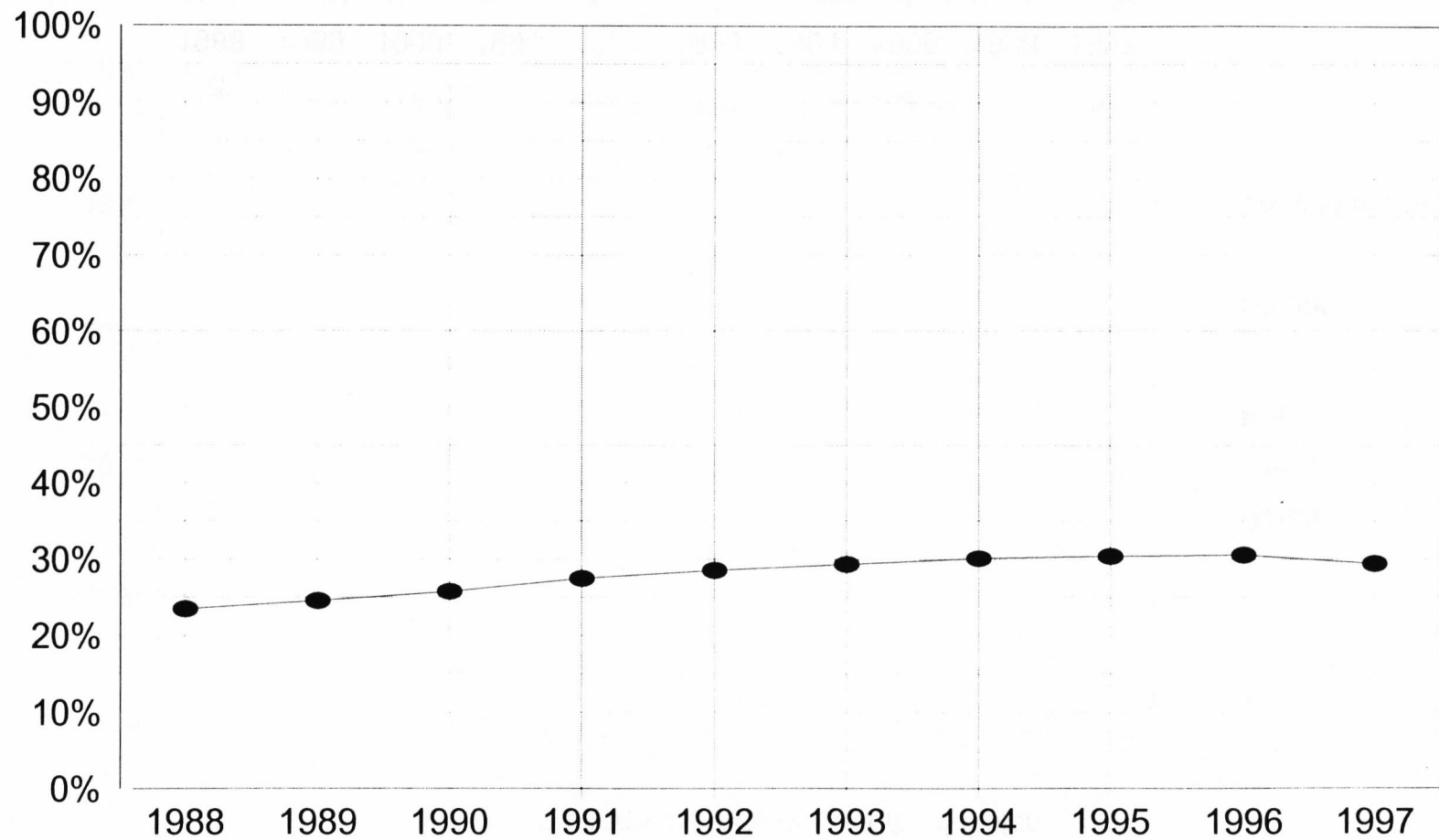
	<u>Total</u>		<u>By Tenure Status</u>				<u>By Rank</u>			
			<u>Tenure Track</u>		<u>Non-Tenure -Track</u>		<u>Senior Ranks</u>		<u>Junior Ranks</u>	
	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>
<b>Total</b>	946	100%	687	100%	259	100%	697	100%	249	100%
<b>Women</b>	278	29%	164	24%	114	44%	164	24%	114	46%
<b>Men</b>	668	71%	523	76%	145	56%	533	76%	135	54%
<b>White</b>	815	86%	601	87%	214	83%	621	89%	194	78%
<b>Black</b>	27	3%	13	2%	14	5%	16	2%	11	4%
<b>Asian</b>	82	9%	60	9%	22	8%	48	7%	34	14%
<b>Hispanic</b>	22	2%	13	2%	9	3%	12	2%	10	4%
<b>Minority Total</b>	131	14%	86	13%	45	17%	76	11%	55	22%

## **APPENDICES**

- Appendix A1:** Women as a Percentage of Regular Faculty
- Appendix A2:** Percentage of Regular Faculty of Color
- Appendix B:** New Full-Time Faculty, Academic Years 1992-93 to 1997-98
- Appendix C:** Full-time Faculty by School and Percent Change Between Academic Year 1988-89 and 1996-97
- Appendix D:** Full-time Faculty by Contract Status and Percent Change Between Academic Years 1988-89 and 1996-97
- Appendix E:** Full-time Faculty by Rank and Percent Change Between Academic Years 1988-89 and 1996-96
- Appendix F:** 1997-98 Full-time Faculty of Color by School

## Appendix A1

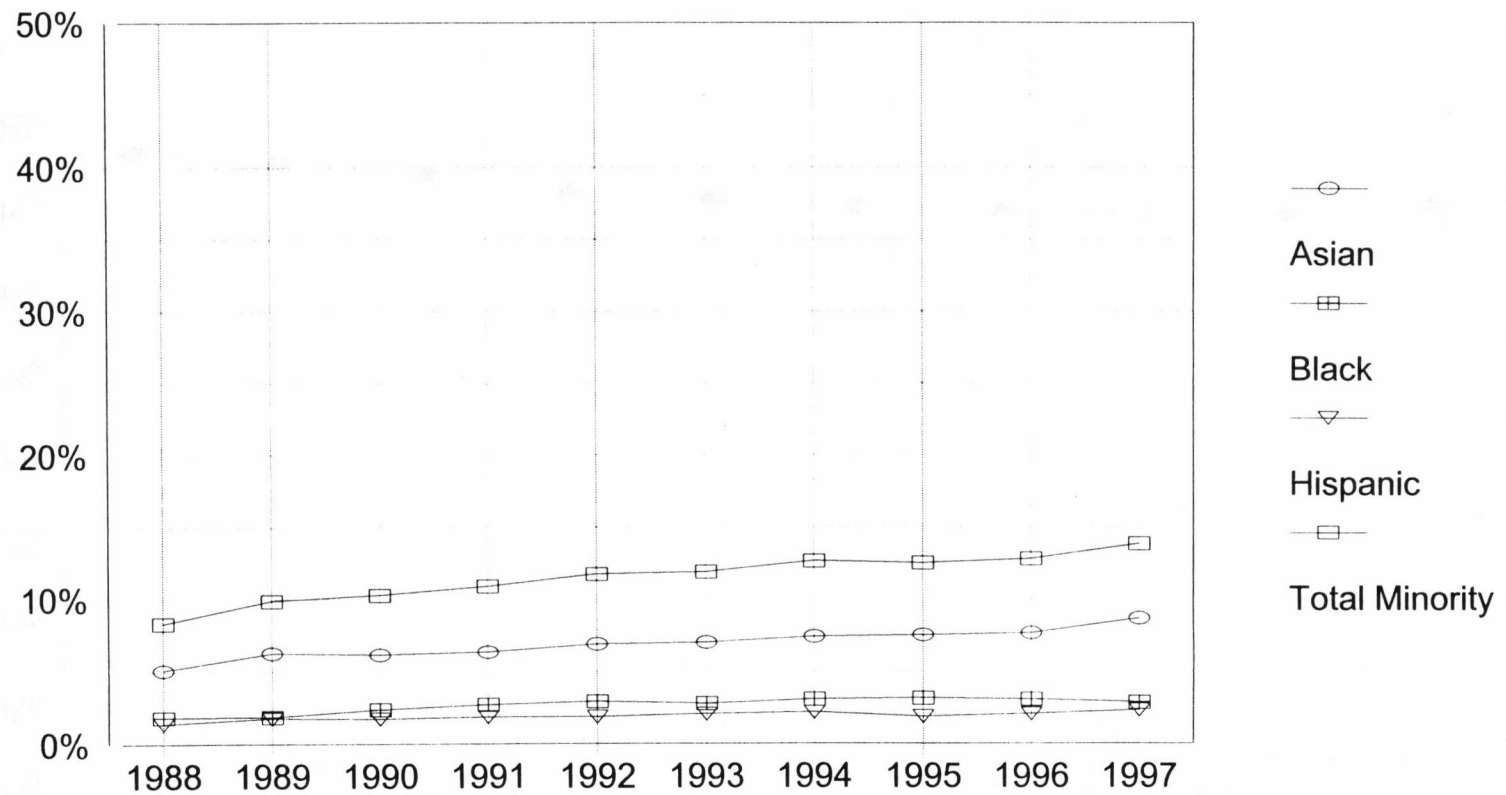
### Percentage of Women Regular Faculty





## Appendix A2

### Percentage of Regular Faculty of Color



Note: In order to emphasize the trend, this graph only extends to 50%.

**APPENDIX B**  
**New Full-Time Faculty**  
**Academic Years 1993-94 to 1997-98**

	<b>1993-94</b>		<b>1994-95</b>		<b>1995-96</b>		<b>1996-97</b>		<b>1997-98</b>	
	<b>Number</b>	<b>Percent</b>	<b>Number</b>	<b>Percent</b>	<b>Number</b>	<b>Percent</b>	<b>Number</b>	<b>Percent</b>	<b>Number</b>	<b>Percent</b>
<b>Total</b>	66	100%	60	100%	51	100%	69	100%	58	100%
<b>Women</b>	23	35%	23	38%	18	35%	29	42%	23	40%
<b>Men</b>	43	65%	37	62%	33	65%	40	58%	35	60%
<b>White</b>	58	88%	44	73%	44	86%	59	86%	45	78%
<b>Black</b>	2	3%	7	12%	4	8%	2	3%	2	3%
<b>Asian</b>	5	8%	7	12%	3	6%	6	9%	8	14%
<b>Hispanic</b>	1	2%	2	3%	0	0%	2	3%	3	5%
<b>Minority Total</b>	8	12%	16	27%	7	14%	10	14%	13	22%

# APPENDIX C

## Full-time Faculty by School and Percent Change Between Academic Years 1988/89 and 1997/98

	<b>Total</b>			<b>Men</b>			<b>Women</b>			<b>Minority</b>		
	<b>97/98</b>			<b>Change from 88/89</b>			<b>Change from 88/89</b>			<b>Change from 88/89</b>		
	Number	Number	Percent	Number	Percent	Number	Number	Percent	Number	Number	Percent	Number
CSAS	336	228	2.7%	6			108	31.7%	26	35	84.2%	16
SBPM	106	84	10.5%	8			22	57.1%	8	18	260.0%	13
ESIA	31	25	47.1%	8			6	500.0%	5	3	200.0%	2
SEAS	71	64	-7.2%	(5)			7	16.7%	1	17	70.0%	7
GSEHD	56	29	31.8%	7			27	17.4%	4	5	66.7%	2
LAW	63	45	25.0%	9			18	50.0%	6	6	200.0%	4
SMHS	259	175	-17.8%	(38)			84	31.3%	20	46	43.8%	14
SPHHS	18	12	-	12			6	-	6	1	-	1
UNIV	6	6	50.0%	2			0	-	0	0	-	0
<b>Total</b>	<b>946</b>	<b>668</b>	<b>1.4%</b>	<b>9</b>			<b>278</b>	<b>37.6%</b>	<b>76</b>	<b>131</b>	<b>81.9%</b>	<b>59</b>

**APPENDIX D**  
**Full-time Faculty by Contract Status**  
**and Percent Change Between**  
**Academic Years 1988/89 and 1997/98**

**Tenured & Tenure-Track Positions Combined**

	<b>Men</b>			<b>Women</b>			<b>Total</b>		
	<u>97/98</u> <u>Number</u>	<u>Change from 88/89</u> <u>Percent</u>	<u>Number</u>	<u>97/98</u> <u>Number</u>	<u>Change from 88/89</u> <u>Percent</u>	<u>Number</u>	<u>97/98</u> <u>Number</u>	<u>Change from 88/89</u> <u>Percent</u>	<u>Number</u>
White	465	-12.4%	(66)	136	14.3%	17	601	-7.5%	(49)
Black	5	-28.6%	(2)	8	100.0%	4	13	18.2%	2
Asian	47	88.0%	22	13	44.4%	4	60	76.5%	26
Hispanic	6	-25.0%	(2)	7	250.0%	5	13	30.0%	3
<b>TOTAL</b>	<b>523</b>	<b>-8.4%</b>	<b>(48)</b>	<b>164</b>	<b>22.4%</b>	<b>30</b>	<b>687</b>	<b>-2.6%</b>	<b>(18)</b>
<b>Minorities</b>	<b>58</b>	<b>45.0%</b>	<b>18</b>	<b>28</b>	<b>86.7%</b>	<b>13</b>	<b>86</b>	<b>56.4%</b>	<b>31</b>

**APPENDIX E**  
**Full-time Faculty by Rank**  
**and Percent Change Between**  
**Academic Years 1988/89 and 1997/98**

**Senior Ranks - Professor & Associate Professor**

	<b>Men</b>			<b>Women</b>			<b>Total</b>		
	<b>97/98</b>	<b>Change from 88/89</b>	<b>Number</b>	<b>97/98</b>	<b>Change from 88/89</b>	<b>Number</b>	<b>97/98</b>	<b>Change from 88/89</b>	<b>Number</b>
	<b>Number</b>	<b>Percent</b>		<b>Number</b>	<b>Percent</b>		<b>Number</b>	<b>Percent</b>	
White	484	-3.8%	(19)	137	44.2%	42	621	3.8%	23
Black	6	0.0%	0	10	400.0%	8	16	100.0%	8
Asian	37	85.0%	17	11	37.5%	3	48	71.4%	20
Hispanic	6	-14.3%	(1)	6	200.0%	4	12	33.3%	3
<b>TOTAL</b>	<b>533</b>	<b>-0.6%</b>	<b>(3)</b>	<b>164</b>	<b>53.3%</b>	<b>57</b>	<b>697</b>	<b>8.4%</b>	<b>54</b>
<b>Minorities</b>	<b>49</b>	<b>48.5%</b>	<b>16</b>	<b>27</b>	<b>125.0%</b>	<b>15</b>	<b>76</b>	<b>68.9%</b>	<b>31</b>



**APPENDIX F**  
**1997/98 Full-time Faculty of Color**  
**By School**

**Tenured and Tenure-Track Positions Combined**

	<u>Minority</u>	<u>Black</u>	<u>Asian</u>	<u>Hispanic</u>
CSAS	32	6	22	4
SBPM	16	2	12	2
ESIA	1	0	1	0
SEAS	15	0	13	2
GSEHD	3	1	1	1
LAW	4	3	0	1
SMHS	15	1	11	3
SPHHS	0	0	0	0
UNIV	0	0	0	0
<b>Total</b>	<b>86</b>	<b>13</b>	<b>60</b>	<b>13</b>

**Non-Tenure-Track**

	<u>Minority</u>	<u>Black</u>	<u>Asian</u>	<u>Hispanic</u>
CSAS	3	1	2	0
SBPM	2	1	1	0
ESIA	2	1	1	0
SEAS	2	0	2	0
GSEHD	2	1	1	0
LAW	2	1	0	1
SMHS	31	9	15	7
SPHHS	1	0	0	1
UNIV	0	0	0	0
<b>Total</b>	<b>45</b>	<b>14</b>	<b>22</b>	<b>9</b>

**REPORT OF THE EXECUTIVE COMMITTEE  
FEBRUARY 10, 1998  
PROFESSOR LILIE F. ROBINSON, CHAIR**

**I. MARCH SENATE MEETING**

At the March 13th Senate meeting, there will be an election of the Nominating Committee to propose a slate of nominees to serve on the Executive Committee for the 1998-99 academic year.

A briefing on the new Faculty/Alumni Club will be given by the Jody Winter, Director of Special Projects, Treasurer's Office. There will also be a report on the StudentsFirst Project by LeNorman Strong, Assistant Vice President, Students and Academic Support Services.

**2. ANNOUNCEMENTS**

A reminder that the forms for service on Faculty Senate Standing Committees and Administrative Standing Committees were sent with the agenda for this meeting. The forms should be returned to the Faculty Senate Office, Rice Hall 305, as soon as possible.

The next meeting of the Executive Committee is scheduled for February 27th. Resolutions should reach the Executive Committee prior to the date for inclusion on the agenda of the March 13th Senate meeting.





FACULTY SENATE

**MEMORANDUM**

January 21, 1998

**TO: FACULTY SENATE MEMBERS**

**FROM: Doris D. Trone, Coordinator  
Faculty Senate Activities**

**RE: NOTICE OF CHANGE OF DATE AND TIME OF FEBRUARY  
SENATE MEETING**

**This is to notify you that the date and time of the next regular Senate meeting, Friday, February 13, 1998, has been changed to TUESDAY, FEBRUARY 10, 1998, AT 8:00 A.M. IN THE MARVIN CENTER, ELLIOTT ROOM. Breakfast will be provided.**

**The reason for this change is to provide the Faculty Senate the opportunity to vote on the proposed new Conflicts of Interest Policy prior to the vote on it by the Board of Trustees at its meeting on February 13, 1998.**

**The proposed new Conflicts of Interest Policy which will be placed on the agenda for the February 10th Senate meeting is enclosed in advance for your consideration and review. A Resolution on the proposed new policy will follow.**

**Enclosure**



THE GEORGE WASHINGTON UNIVERSITY  
Washington, DC

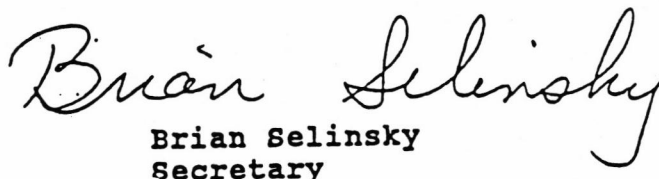
The Faculty Senate

January 26, 1998

The Faculty Senate will meet on Tuesday, February 10, 1998, at 8:00 a.m. in the Elliott Room, University Club, 3rd Floor, Marvin Center.

AGENDA

1. Call to order
2. Approval of the minutes of the regular meeting of January 16, 1998  
(to be distributed)
3. Resolutions:
  - (a) A RESOLUTION TO ENDORSE A UNIVERSITY POLICY ON CONFLICTS OF INTEREST (97/6) with accompanying Policy; Professor Lilien F. Robinson, Chair, Executive Committee of the Faculty Senate (Resolution 97/6 and Policy attached)
  - (b) A RESOLUTION REGARDING THE ROLE OF THE AD HOC FACULTY COMMITTEE ON THE MOUNT VERNON CAMPUS OF THE GEORGE WASHINGTON UNIVERSITY (97/9); Professor Lilien F. Robinson, Chair, Executive Committee of the Faculty Senate (Resolution 97/9 attached)
4. Introduction of Resolutions
5. Annual Report on Recruitment and Appointment of Women and Minority Faculty from the Office of the Vice President for Academic Affairs
6. General Business:
  - (a) Report of the Executive Committee: Professor Lilien F. Robinson, Chair
  - (b) Interim Reports of Senate Committee Chairs
7. Brief Statements (and Questions)
8. Adjournment

  
Brian Selinsky  
Secretary

A RESOLUTION TO ENDORSE A UNIVERSITY POLICY ON CONFLICTS OF INTEREST  
(97/6)

WHEREAS, it is in the best interest of The George Washington University to have a policy on conflicts of interest; and

WHEREAS, it is desirable for both the faculty and the University to avoid, whenever possible, such problems before they occur; and

WHEREAS, the Board of Trustees of The George Washington University requested that the Faculty Senate review and make recommendations with respect to the 1997 Conflicts of Interest Policy, as revised by the Academic Affairs Committee of the Board of Trustees; and

WHEREAS, a faculty committee working with representatives of the Board of Trustees has produced the requested and further revised document; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

- I. That the Senate endorses the attached policy statement on conflicts of interest; and
- II. That the Senate further recommends that, upon adoption by the University, this policy be incorporated by reference in the Faculty Handbook and that this policy be printed as a separate Conflicts of Interest pamphlet for distribution to the faculty.

Executive Committee of the Faculty Senate  
January 23, 1998



## POLICY ON CONFLICTS OF INTEREST AND COMMITMENT

### I. GENERAL STATEMENT

#### A. Underlying principles.

The Faculty Code states, "faculty shall have a primary responsibility of devoting their time, thought, and energy to service of the University." Of no less importance is a faculty member's responsibility to further his or her own professional development and the goals of his or her professional discipline. Normally a faculty member's participation in activities of governmental, industrial, and professional institutions is consistent with academic interests of the University and the faculty member.

Conflicts of interest may occur when there is a divergence between a faculty member's private interests and professional service to the University. Conflicts of interest differ in nature and degree. The goal of any institution cannot be to eliminate all conflicts of interest. Rather it should be to establish boundaries within which conflicts of interest are tolerable and beyond which they are intolerable; processes for review of actual and apparent conflicts of interest; and appropriate mechanisms for management of tolerable conflicts of interest.

Faculty activities shall be conducted in a manner that avoids inappropriate conflicts of interest. As specifically described in Sections II and III, conflicts of interest may require review and oversight when:

1. the University is deprived of appropriate (compensated) time and effort of the faculty member due to external commitments (for example, when a faculty member exceeds the limitations of the "one-day-a-week" rule set forth in Section II.B.; or accepts obligations that may frequently conflict with scheduled classes or other academic responsibilities);
2. substantial use is made of human and material resources of the University for non-University purposes (for example, when a faculty member inappropriately uses University equipment, supplies, personnel, and other facilities and resources for activities that yield financial benefit to the faculty member or a third party; or receives outside financial incentives that distort scholarly activity or the shaping of academic goals; or facilitates the erroneous impression that the University endorses or is connected to an outside activity);

3. the faculty member's extra-University financial involvements affect, or reasonably appear to have a significant potential to affect, his or her academic responsibilities, or compromise basic scholarly activity or freedom of action (for example, when a faculty member hires a family member; or enters into an agreement to limit or delay the free publication, or access to the results, of sponsored research, other than according to normal University practice (as in the case of patents); or has a reportable interest in a transaction described in Section III.B.); or
4. the University is deprived of appropriate potential financial gain (for example, when a faculty member inappropriately seeks to obtain research support in a manner that substantially undermines responsibilities of the Office of Sponsored Research; or has an outside commitment that provides an individual or organization, other than the University, intellectual or tangible property rights, such as patent ownership or license rights, that ought to accrue to the University).

**B. Nature of policy.** Because precise boundaries are difficult to establish without reference to specific facts, it is prudent to establish a flexible, not formulaic, approach based on principles of fairness and trust. Fairness is advanced by policies firm enough to provide clear guidance and consistency, yet sufficiently flexible to accommodate diversity of discipline and unique circumstance. Trust is advanced by appropriate disclosure and discussion. In light of these principles, this Policy has two essential elements: (1) Faculty are provided a mechanism to report and seek guidance concerning significant actual, potential, and apparent conflicts of interest, thus to ensure appropriate disclosure and that the interests of the faculty member and the University are well served. To promote fairness, all faculty are required to report, as set forth in this Policy. (2) Each school shall administer in accordance with this Policy: a procedure for annual faculty disclosure of reportable actual, potential, and apparent conflicts of interest; disclosure by faculty of information pertinent to such conflicts; and a procedure for review and resolution of any lack of agreement arising from disclosure of such conflicts.

**C. Obligation of University.** In its promotion and administration of research and otherwise, the University shall be sensitive to prospective conflicts of interest involving faculty, including, for example, with respect to (1) the independence of faculty to determine subjects of research and scholarship and (2) enabling faculty to report accurately their time and effort.

**D. "Faculty" defined.** For purposes solely of this Policy, the terms "faculty" and "faculty member" are (1) as defined in the Faculty Code, pages 2 and 3 section I, subsection B items 1, 3, and 4, and also refer to (2) any other person responsible for the design, conduct or reporting of externally sponsored University research.

## II. CONSULTING, OTHER PROFESSIONAL ACTIVITIES, AND RESEARCH SUPPORT FROM OUTSIDE ENTITIES

A. The merit of external involvements. Increasingly, industry and government rely on university faculties for advice. Such practical contributions from higher education institutions to the nonacademic world have provided many faculty members the opportunity to use their knowledge and talents constructively, to strengthen their competence through a greater variety of professional experiences, to enhance the faculty member's and the University's scholarly reputation, and to serve the public interest.

B. "One-day-a-week" rule. A full-time faculty member may spend the equivalent of up to one working day a week during the academic year on outside consulting and other professional activities, provided such commitments do not interfere with University obligations. Payments for such activities are negotiated by the faculty member directly and do not involve the University. This privilege is not extended to research faculty members paid wholly from research grants or contracts, full-time physician faculty members in the Medical Center who are participants in Medical Faculty Associates, or other physician faculty members whose University contracts preclude such activities.

C. Administration of the rule. The department chair (or, where applicable, head of other pertinent academic unit) and the dean are responsible for ensuring compliance with this Policy and that no faculty member abuses this privilege. In particular, faculty involved in private income-producing activities shall not, absent prior written approval by the Vice President for Academic Affairs ("Vice President"), for such purposes substantially utilize University space or resources or the services of secretaries or other University staff, provided that this Policy does not prohibit incidental use of personal office space, local telephone, library resources, and personal computer equipment.

D. Need for written sponsored-research agreements. Before the University enters into any arrangement in which an entity outside the University provides support for research, a clearly stated written agreement should be negotiated that sets forth the faculty member's, the University's, and the external entity's expectations. Funding amounts and other financial arrangements, realistic timetables for mutually agreed objectives, and intellectual property agreements should be in writing before work begins. If the research project involves or may potentially involve a product or service with commercial potential, that prospect must be made known to all parties in advance.

## III. REPORTABLE INTERESTS

A. Reportable interests (i.e., "significant financial interests") defined. This Section III and the disclosure requirements contained in Section IV apply only to transactions and relationships, described in Section III.B, that involve a faculty

member or immediate family member, the University, and an outside entity. For purposes of this Policy, "immediate family member" means spouse and dependent children, and "significant financial interest" means (1) any stock, stock option, or similar ownership interest in the outside entity by the faculty member that, alone or together with interests of immediate family members, is valued at least at the lesser of \$10,000 or five percent of the total ownership interests in the outside entity, excluding any interest arising solely by reason of investment by a mutual, pension, or other institutional investment fund over which neither the faculty member nor an immediate family member exercises control; or (2) receipt, individually or collectively by a faculty member and immediate family members, of, or the right or expectation to receive, income, whether in the form of a fee (e.g., consulting), salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology or other processes or products, rent, capital gain, real or personal property, or any other form of compensation, or any combination thereof, that over the last 12 months exceeded or over the next 12 months is expected to exceed \$10,000 in income of all types; or (3) that the faculty member or immediate family member provides services as a principal investigator for, or holds a management position in, an outside entity.

**B. Transactions covered.** Before the University enters into any of the following arrangements, and annually thereafter, a faculty member described in paragraphs 1-5 below must submit to the school dean a written disclosure of any current or pending relationship of such faculty member or immediate family member with the outside entity, the relationship of the proposed University activity to the entity, and means by which the faculty member will ensure separation of his or her University role from the faculty member's or immediate family member's role or interest in the entity:

1. Gifts to the University of cash or property that will be under the control, or will directly support the teaching or research activities, of a faculty member from an outside entity in which the faculty member or immediate family member has a significant financial interest;
2. sponsored-project proposals as to which the involved faculty member or immediate family member has a significant financial interest in the proposed sponsor or in a proposed subcontractor, vendor or collaborator;
3. University technology-licensing arrangements with an outside entity in which the faculty inventor or immediate family member has a significant financial interest;
4. procurement of materials or services from an outside entity in which the faculty member or immediate family member has a significant financial interest, if the faculty member is personally involved in or



has the ability to influence the formation or implementation of the procurement transaction; and

5. submission to an external sponsor of an application for funding of University research in the design, conduct or reporting of which a faculty member plans to participate that would reasonably appear to affect the faculty member's or immediate family member's interest in an outside entity or would reasonably appear to affect the entity's financial interests.

A faculty member who seeks funding from or who works on a project funded by an external sponsor must comply with that sponsor's additional requirements, if any, related to disclosure, management, and avoidance of conflicts of interest.

C. **Ongoing and elective disclosures.** In addition to disclosures required under Section III.B., faculty members shall disclose to the department chair (or, where applicable, head of other pertinent academic unit) or dean on an ad hoc basis current or prospective situations that are likely to raise questions of reportable conflict of interest under this Policy, including any new reportable significant financial interests, as soon as such situations become known to the faculty member. In addition, a faculty member may elect to disclose voluntarily other financial benefit to the faculty member or immediate family member, related to an existing or contemplated relationship between the University and an outside entity with which the faculty member or immediate family member is or expects to be involved, if the faculty member deems it desirable to seek review in accordance with the procedures specified in Section IV.

#### IV. PROCEDURES FOR REVIEW

##### A. **Review of disclosure form; management of disclosed conflicts.**

1. Faculty members shall supply the annual and ad hoc disclosures required by Section III on the annexed Disclosure Form, for confidential review by the Administration. Each dean shall forward to the Vice President a copy of the faculty disclosure forms, any related material submitted by a faculty member, and the dean's recommendation for action.
2. If the dean, with the concurrence of the Vice President, determines that the conduct disclosed is permissible under this Policy, the faculty member shall be so informed in writing. Guidance on types of conduct approved shall be provided the faculty from time to time, without identifying faculty members who received approval.
3. If the dean or the Vice President determines that the conduct may present an actual conflict of interest, or reasonably appears to present

a significant potential for such a conflict of interest, within the scope of this Policy, conditions or restrictions to manage or prohibit the conflict, agreeable to the Vice President, may be imposed. Such conditions or restrictions may include, but are not limited to: Public disclosure of significant financial interests; monitoring of research by independent reviewers; modification of the research plan; disqualification from participation in all or part of an externally funded research project; divestiture of significant financial interests; and severance of relationships that create actual or reasonably apparent conflicts of interest.

4. It is not the object of this Policy to discourage outside activities by faculty that present no actual or reasonably apparent conflict of interest within the scope of this Policy. Instead, the review process is designed to allow faculty members to undertake permissible activities without concern about later criticism, to provide the University accurate information about those faculty activities, and to be fair to all involved.

**B. Procedures for resolving disputes about conflicts.**

1. If a dean learns from a faculty member or otherwise of conduct the dean believes presents a significant question under this Policy, the dean should discuss the conduct with the faculty member; shall relate his or her findings to the Vice President, and subject to the concurrence of the Vice President shall advise the faculty member whether the conduct (a) is permissible under this Policy without conditions or restrictions; (b) may be undertaken subject to conditions or restrictions as described in Section IV.A.3 above; (c) or should cease, subject to further review. If the dean or Vice President determines that conditions or restrictions should be imposed, the faculty member shall, as the case may be, cease the conduct, accept the conditions or restrictions agreeable to the Vice President, or seek review of the matter by the school's Conflicts Consultation Committee.
2. Any member of the University community ("Complainant") may bring directly to the attention of a school's Committee a probative and not frivolous matter alleged to be reportable under this Policy. A faculty member whose activity has been questioned shall be entitled to know the identity of the person or persons bringing such allegations to the Committee and the full extent of the allegations.
3. A school's Conflicts Consultation Committee shall be composed of at least five faculty members of the school, elected, ordinarily annually, by the faculty of the school. The Committee's function shall be to



conduct a hearing if necessary, to make written findings about any disputed facts, and to write a reasoned recommendation as to whether the conduct entails a reportable conflict of interest under this Policy and whether the conduct may be undertaken subject to conditions or restrictions.

4. The dean, the Vice President, the Complainant or the faculty member may consult a member of the Conflicts Consultation Committee informally, with that member's consent, before the matter is referred to it, to discuss whether a given activity would entail a reportable conflict of interest under this Policy and/or what if any conditions or restrictions would be appropriate, but no such informal advice should bind any party to the process described above. The Committee member who has provided such consultation shall not participate in the hearing or decision.
5. The Vice President shall review the Committee's recommendation, confer with the Dean, and render a formal decision.
6. A faculty member dissatisfied with the Vice President's decision may appeal it to the University Conflicts Resolution Panel ("Panel"), which shall be composed of five faculty members nominated by the Faculty Senate Executive Committee in consultation with the Vice President and elected by the Faculty Senate. Members of the Panel shall ordinarily serve for staggered three-year terms.
7. The Panel shall be bound by the factual findings of the school Conflicts Consultation Committee unless in the judgment of the Panel the school Committee clearly failed to consider important facts submitted to it. Ordinarily there should be no need for a hearing before the University Panel and no augmenting of the factual record.
8. A member of the Panel from the school from whose Committee the appeal is taken may not participate in the appeal. No informal or other ex parte communication with members of the Panel shall be permitted as to a matter that has been or may be brought before the Panel.
9. The Panel shall render its report to the affected faculty member, the dean, and the Vice President. The conclusion of the Panel shall be forwarded to the Administration for final disposition.
10. To the extent that conduct of faculty who are identified in Section I.D.1. is ultimately determined to be impermissible under this Policy, the Vice President may impose sanctions not inconsistent with the substantive and procedural requirements of the Faculty Code.

11. A faculty member whose conduct has been ultimately determined to be permissible under this Policy shall be insulated from school or University sanction for that conduct. However, another faculty member may not rely on an approval that addressed a different faculty member's conduct, as it may have been based on unique circumstances.

**Faculty Member Financial Interest Disclosure**

**Pursuant to The George Washington University Policy on Conflicts of Interest and Commitment**

*(Reportable financial interests are defined in Section III of the University Policy.)*

Faculty Member Name: \_\_\_\_\_

Department/Unit: \_\_\_\_\_

College/Unit: \_\_\_\_\_

I have no reportable financial interest in accordance with Section III of the University Policy.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Or: I am disclosing the following reportable financial interests under Section III of the University Policy and attach supporting documentation (in an envelope marked 'Confidential') that identifies the business enterprise or entity involved and the nature and amount of the interest:

\_\_\_\_\_ Reportable salary or other payment for services.

\_\_\_\_\_ Reportable equity interests.

\_\_\_\_\_ Reportable intellectual property rights.

\_\_\_\_\_ Reportable position in management.

\_\_\_\_\_ Other reportable financial interest.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

**Endorsements:**

I have reviewed the financial interest disclosure and believe that it will be possible to develop and execute, prior to award if applicable, a Memorandum of Understanding to manage, reduce or eliminate any actual, potential, or apparent conflict of interest; and, therefore, I recommend that the University permit the disclosed arrangement and, if applicable, that the proposal be submitted to the agency at this time.

Additional comments:

Department/Unit Head: \_\_\_\_\_

Signed

\_\_\_\_\_ Date

Additional Comments:

College Dean/Director: \_\_\_\_\_

Signed

\_\_\_\_\_ Date

**A RESOLUTION REGARDING THE ROLE OF THE AD HOC FACULTY  
COMMITTEE ON THE MOUNT VERNON CAMPUS OF THE GEORGE  
WASHINGTON UNIVERSITY (97/9)**

**WHEREAS, the Faculty Code provides that the "faculty shares with the officers of the administration the responsibility for effective operation of the departments and schools and the University as a whole." It further provides that "the regular, active-status faculty plays a role in decisions on the appointment. . .of members of the faculty. . ." and that the faculty is "entitled to an opportunity to make recommendations on proposals concerning the creation, consolidation, or elimination of departments, institutes, or other academic or research units...." (Faculty Code, Sec. IX.A. pp.15-16); and**

**WHEREAS, it is desirable for both faculty and the University to avoid, whenever possible, problems before they occur; and**

**WHEREAS, the Executive Committee of the Faculty Senate has appointed a faculty committee to work with the administration to ensure a smooth transition for students and academic programs;  
NOW, THEREFORE**

**BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE  
WASHINGTON UNIVERSITY**

**That the Faculty Senate calls upon the administration to keep this committee fully informed and to consult, in a timely manner, with the committee on faculty and programmatic plans and actions relating to the Mount Vernon campus of The George Washington University.**

**Executive Committee of the Faculty Senate  
January 23, 1998**

A RESOLUTION OF THE BOARD OF DIRECTORS OF THE  
COMPANY, INCORPORATED IN THE STATE OF CALIFORNIA  
Pursuant to the authority conferred upon it by the  
Articles of Incorporation and the Bylaws of the Company.

WHEREAS, the Board of Directors of the Company has  
determined that it is in the best interests of the  
Company to enter into a certain agreement with the  
certain person or persons named herein, and  
WHEREAS, the Board of Directors of the Company has  
determined that it is in the best interests of the  
Company to enter into a certain agreement with the  
certain person or persons named herein, and  
WHEREAS, the Board of Directors of the Company has  
determined that it is in the best interests of the  
Company to enter into a certain agreement with the  
certain person or persons named herein, and

IT IS HEREBY RESOLVED, that the Board of Directors of the  
Company do hereby authorize the certain person or persons  
named herein to execute and deliver the certain agreement  
with the certain person or persons named herein, and

IN WITNESS WHEREOF, the Board of Directors of the Company  
has caused this Resolution to be signed by its duly  
authorized officers and its corporate seal to be hereunto  
affixed, and the same to be attested by its Secretary,  
this certain day of certain month, certain year.

ATTEST: SECRETARY OF THE COMPANY  
CERTIFICATE OF THE SECRETARY OF THE COMPANY

That the Board of Directors of the Company has  
determined that it is in the best interests of the  
Company to enter into a certain agreement with the  
certain person or persons named herein, and  
That the Board of Directors of the Company has  
determined that it is in the best interests of the  
Company to enter into a certain agreement with the  
certain person or persons named herein, and

IN WITNESS WHEREOF, the Board of Directors of the Company  
has caused this Resolution to be signed by its duly  
authorized officers and its corporate seal to be hereunto  
affixed, and the same to be attested by its Secretary,  
this certain day of certain month, certain year.



**ADMINISTRATIVE STANDING COMMITTEES**

February, 1998

THE GEORGE WASHINGTON UNIVERSITY  
Washington, DC

TO: Members of the University Faculty Assembly

FROM: Lilien F. Robinson, Chair *Lilien F. Robinson*  
Executive Committee of the Faculty Senate

RE: Appointments to Administrative Standing and Special  
Committees for the Year 1998-99

At its April and May meetings the Faculty Senate will recommend faculty for presidential appointment to membership on certain Administrative Standing Committees listed below. When the Executive Committee meets in March, it will draw up a list of faculty nominees for approval by the Senate.

If you are interested in volunteering your services--and I urge you to give the matter serious consideration--please indicate your preferences and return this form to:

**FACULTY SENATE OFFICE  
RICE HALL, #305**

**BY MARCH 13, 1998**

Committee on the Judicial System  
Committee on Student Publications  
Committee on University Bookstore  
Forum  
Joint Committee of Faculty  
and Students

Marvin Center Governing Board  
Marvin Center Program Board  
Panel for Student Grievance  
Review Committees  
Safety and Security Advisory Comm.  
University Hearing Board

Name \_\_\_\_\_ Department \_\_\_\_\_ Rank \_\_\_\_\_

Currently serving on the Administrative Committee on: \_\_\_\_\_

Do you wish to be re-elected to this Committee? \_\_\_\_ Yes \_\_\_\_ No

I should like to serve on an Administrative Committee according to my preferences below:

(1st Choice) \_\_\_\_\_

(2nd Choice) \_\_\_\_\_

(3rd Choice) \_\_\_\_\_

I will be available for committee work during the regular academic year \_\_\_\_ Yes \_\_\_\_ No

I will also be available for committee work during at least one of the summer sessions \_\_\_\_ Yes \_\_\_\_ No

I prefer not to serve during 1998-99 \_\_\_\_.

Thank you for your prompt consideration of this matter.

THE UNITED STATES OF AMERICA  
Washington, D.C.

Department of the Interior, Bureau of Land Management

Attention: Assistant Secretary for Lands

Reference is made to your letter of August 1, 1955, and the  
enclosed letter of the same date.

As the result of the meeting of the Board of Land Management  
held on August 1, 1955, at Washington, D.C., the Board has  
recommended that the proposed action be approved for the  
Bureau of Land Management to take the necessary steps to  
implement the same.

It was also recommended that the proposed action be  
approved for the Bureau of Land Management to take the  
necessary steps to implement the same.

Very truly yours,  
Assistant Secretary for Lands

By \_\_\_\_\_

For the Bureau of Land Management,  
Department of the Interior,  
Washington, D.C.

For the Bureau of Land Management,  
Department of the Interior,  
Washington, D.C.

Very truly yours,  
Assistant Secretary for Lands

Very truly yours,  
Assistant Secretary for Lands

Very truly yours,  
Assistant Secretary for Lands

Very truly yours,  
Assistant Secretary for Lands

Very truly yours,  
Assistant Secretary for Lands

Very truly yours,  
Assistant Secretary for Lands



**FACULTY SENATE STANDING COMMITTEES**

February, 1998

**THE GEORGE WASHINGTON UNIVERSITY  
Washington, DC**

**TO:** Members of the University Faculty Assembly

**FROM:** Lilien F. Robinson, Chair  
Executive Committee of the Faculty Senate

**RE:** Call for Nominations for Election to Faculty Senate  
Standing Committees, 1998-99 Session

In April, the newly-elected and incumbent Executive Committee of the Faculty Senate will meet jointly "to nominate the members and chairmen of the standing committees and special committees" of the Faculty Senate for the year 1998-99.

We have had an exceptionally strong record of effective shared governance. However, such success is dependent on the willingness of faculty to participate in the process. To that end, my colleagues and I urge you to volunteer for committee service by filling out this form and returning it to:

**FACULTY SENATE OFFICE  
RICE HALL, #305**

**BY MARCH 13, 1998**

Administrative Matters as They  
Affect the Faculty  
Admissions Policy, Enrollment Manage-  
ment and Student Financial Aid  
Appointment, Salary, and Promotion  
Policies (including Fringe Benefits)  
Athletics and Recreation  
Dispute Resolution Committee (3-year term)  
Educational Policy

Faculty Development and Support  
Fiscal Planning and Budgeting  
Honors and Academic Convocations  
Libraries  
Physical Facilities  
Professional Ethics and Academic  
Freedom  
Research  
University and Urban Affairs

Name \_\_\_\_\_ Department \_\_\_\_\_ Rank \_\_\_\_\_

Currently serving on the Senate Committee on: \_\_\_\_\_

Do you wish to be re-elected to this Committee? \_\_\_\_ Yes \_\_\_\_ No

I should like to serve on a Senate Committee according to my preferences below:

(1st Choice) \_\_\_\_\_

(2nd Choice) \_\_\_\_\_

(3rd Choice) \_\_\_\_\_

I will be available for committee  
work during the regular academic  
year \_\_\_\_ Yes \_\_\_\_ No

I will also be available for  
committee work during at least one  
of the summer sessions \_\_\_\_ Yes \_\_\_\_ No

I prefer not to serve during 1998-99 \_\_\_\_.



THE GEORGE WASHINGTON UNIVERSITY  
Washington, DC

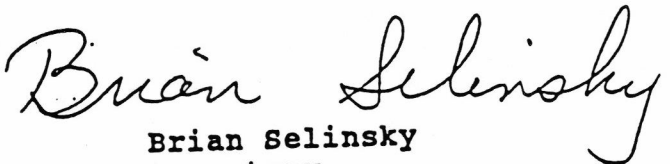
The Faculty Senate

January 26, 1998

The Faculty Senate will meet on Tuesday, February 10, 1998, at 8:00 a.m. in the Elliott Room, University Club, 3rd Floor, Marvin Center.

AGENDA

1. Call to order
2. Approval of the minutes of the regular meeting of January 16, 1998  
(to be distributed)
3. Resolutions:
  - (a) A RESOLUTION TO ENDORSE A UNIVERSITY POLICY ON CONFLICTS OF INTEREST (97/6) with accompanying Policy; Professor Lilien F. Robinson, Chair, Executive Committee of the Faculty Senate (Resolution 97/6 and Policy attached)
  - (b) A RESOLUTION REGARDING THE ROLE OF THE AD HOC FACULTY COMMITTEE ON THE MOUNT VERNON CAMPUS OF THE GEORGE WASHINGTON UNIVERSITY (97/9); Professor Lilien F. Robinson, Chair, Executive Committee of the Faculty Senate (Resolution 97/9 attached)
4. Introduction of Resolutions
5. Annual Report on Recruitment and Appointment of Women and Minority Faculty from the Office of the Vice President for Academic Affairs
6. General Business:
  - (a) Report of the Executive Committee: Professor Lilien F. Robinson, Chair
  - (b) Interim Reports of Senate Committee Chairs
7. Brief Statements (and Questions)
8. Adjournment

  
Brian Selinsky  
Secretary



A RESOLUTION TO ENDORSE A UNIVERSITY POLICY ON CONFLICTS OF INTEREST  
(97/6)

WHEREAS, it is in the best interest of The George Washington University to have a policy on conflicts of interest; and

WHEREAS, it is desirable for both the faculty and the University to avoid, whenever possible, such problems before they occur; and

WHEREAS, the Board of Trustees of The George Washington University requested that the Faculty Senate review and make recommendations with respect to the 1997 Conflicts of Interest Policy, as revised by the Academic Affairs Committee of the Board of Trustees; and

WHEREAS, a faculty committee working with representatives of the Board of Trustees has produced the requested and further revised document; NOW, THEREFORE

BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE WASHINGTON UNIVERSITY

- I. That the Senate endorses the attached policy statement on conflicts of interest; and
- II. That the Senate further recommends that, upon adoption by the University, this policy be incorporated by reference in the Faculty Handbook and that this policy be printed as a separate Conflicts of Interest pamphlet for distribution to the faculty.

Executive Committee of the Faculty Senate  
January 23, 1998



## POLICY ON CONFLICTS OF INTEREST AND COMMITMENT

### I. GENERAL STATEMENT

#### A. Underlying principles.

The Faculty Code states, "faculty shall have a primary responsibility of devoting their time, thought, and energy to service of the University." Of no less importance is a faculty member's responsibility to further his or her own professional development and the goals of his or her professional discipline. Normally a faculty member's participation in activities of governmental, industrial, and professional institutions is consistent with academic interests of the University and the faculty member.

Conflicts of interest may occur when there is a divergence between a faculty member's private interests and professional service to the University. Conflicts of interest differ in nature and degree. The goal of any institution cannot be to eliminate all conflicts of interest. Rather it should be to establish boundaries within which conflicts of interest are tolerable and beyond which they are intolerable; processes for review of actual and apparent conflicts of interest; and appropriate mechanisms for management of tolerable conflicts of interest.

Faculty activities shall be conducted in a manner that avoids inappropriate conflicts of interest. As specifically described in Sections II and III, conflicts of interest may require review and oversight when:

1. the University is deprived of appropriate (compensated) time and effort of the faculty member due to external commitments (for example, when a faculty member exceeds the limitations of the "one-day-a-week" rule set forth in Section II.B.; or accepts obligations that may frequently conflict with scheduled classes or other academic responsibilities);
2. substantial use is made of human and material resources of the University for non-University purposes (for example, when a faculty member inappropriately uses University equipment, supplies, personnel, and other facilities and resources for activities that yield financial benefit to the faculty member or a third party; or receives outside financial incentives that distort scholarly activity or the shaping of academic goals; or facilitates the erroneous impression that the University endorses or is connected to an outside activity);

3. the faculty member's extra-University financial involvements affect, or reasonably appear to have a significant potential to affect, his or her academic responsibilities, or compromise basic scholarly activity or freedom of action (for example, when a faculty member hires a family member; or enters into an agreement to limit or delay the free publication, or access to the results, of sponsored research, other than according to normal University practice (as in the case of patents); or has a reportable interest in a transaction described in Section III.B.); or
4. the University is deprived of appropriate potential financial gain (for example, when a faculty member inappropriately seeks to obtain research support in a manner that substantially undermines responsibilities of the Office of Sponsored Research; or has an outside commitment that provides an individual or organization, other than the University, intellectual or tangible property rights, such as patent ownership or license rights, that ought to accrue to the University).

**B. Nature of policy.** Because precise boundaries are difficult to establish without reference to specific facts, it is prudent to establish a flexible, not formulaic, approach based on principles of fairness and trust. Fairness is advanced by policies firm enough to provide clear guidance and consistency, yet sufficiently flexible to accommodate diversity of discipline and unique circumstance. Trust is advanced by appropriate disclosure and discussion. In light of these principles, this Policy has two essential elements: (1) Faculty are provided a mechanism to report and seek guidance concerning significant actual, potential, and apparent conflicts of interest, thus to ensure appropriate disclosure and that the interests of the faculty member and the University are well served. To promote fairness, all faculty are required to report, as set forth in this Policy. (2) Each school shall administer in accordance with this Policy: a procedure for annual faculty disclosure of reportable actual, potential, and apparent conflicts of interest; disclosure by faculty of information pertinent to such conflicts; and a procedure for review and resolution of any lack of agreement arising from disclosure of such conflicts.

**C. Obligation of University.** In its promotion and administration of research and otherwise, the University shall be sensitive to prospective conflicts of interest involving faculty, including, for example, with respect to (1) the independence of faculty to determine subjects of research and scholarship and (2) enabling faculty to report accurately their time and effort.

**D. "Faculty" defined.** For purposes solely of this Policy, the terms "faculty" and "faculty member" are (1) as defined in the Faculty Code, pages 2 and 3 section I, subsection B items 1, 3, and 4, and also refer to (2) any other person responsible for the design, conduct or reporting of externally sponsored University research.

## II. CONSULTING, OTHER PROFESSIONAL ACTIVITIES, AND RESEARCH SUPPORT FROM OUTSIDE ENTITIES

A. The merit of external involvements. Increasingly, industry and government rely on university faculties for advice. Such practical contributions from higher education institutions to the nonacademic world have provided many faculty members the opportunity to use their knowledge and talents constructively, to strengthen their competence through a greater variety of professional experiences, to enhance the faculty member's and the University's scholarly reputation, and to serve the public interest.

B. "One-day-a-week" rule. A full-time faculty member may spend the equivalent of up to one working day a week during the academic year on outside consulting and other professional activities, provided such commitments do not interfere with University obligations. Payments for such activities are negotiated by the faculty member directly and do not involve the University. This privilege is not extended to research faculty members paid wholly from research grants or contracts, full-time physician faculty members in the Medical Center who are participants in Medical Faculty Associates, or other physician faculty members whose University contracts preclude such activities.

C. Administration of the rule. The department chair (or, where applicable, head of other pertinent academic unit) and the dean are responsible for ensuring compliance with this Policy and that no faculty member abuses this privilege. In particular, faculty involved in private income-producing activities shall not, absent prior written approval by the Vice President for Academic Affairs ("Vice President"), for such purposes substantially utilize University space or resources or the services of secretaries or other University staff, provided that this Policy does not prohibit incidental use of personal office space, local telephone, library resources, and personal computer equipment.

D. Need for written sponsored-research agreements. Before the University enters into any arrangement in which an entity outside the University provides support for research, a clearly stated written agreement should be negotiated that sets forth the faculty member's, the University's, and the external entity's expectations. Funding amounts and other financial arrangements, realistic timetables for mutually agreed objectives, and intellectual property agreements should be in writing before work begins. If the research project involves or may potentially involve a product or service with commercial potential, that prospect must be made known to all parties in advance.

## III. REPORTABLE INTERESTS

A. Reportable interests (i.e., "significant financial interests") defined. This Section III and the disclosure requirements contained in Section IV apply only to transactions and relationships, described in Section III.B, that involve a faculty

member or immediate family member, the University, and an outside entity. For purposes of this Policy, "immediate family member" means spouse and dependent children, and "significant financial interest" means (1) any stock, stock option, or similar ownership interest in the outside entity by the faculty member that, alone or together with interests of immediate family members, is valued at least at the lesser of \$10,000 or five percent of the total ownership interests in the outside entity, excluding any interest arising solely by reason of investment by a mutual, pension, or other institutional investment fund over which neither the faculty member nor an immediate family member exercises control; or (2) receipt, individually or collectively by a faculty member and immediate family members, of, or the right or expectation to receive, income, whether in the form of a fee (e.g., consulting), salary, allowance, forbearance, forgiveness, interest in real or personal property, dividend, royalty derived from the licensing of technology or other processes or products, rent, capital gain, real or personal property, or any other form of compensation, or any combination thereof, that over the last 12 months exceeded or over the next 12 months is expected to exceed \$10,000 in income of all types; or (3) that the faculty member or immediate family member provides services as a principal investigator for, or holds a management position in, an outside entity.

**B. Transactions covered.** Before the University enters into any of the following arrangements, and annually thereafter, a faculty member described in paragraphs 1-5 below must submit to the school dean a written disclosure of any current or pending relationship of such faculty member or immediate family member with the outside entity, the relationship of the proposed University activity to the entity, and means by which the faculty member will ensure separation of his or her University role from the faculty member's or immediate family member's role or interest in the entity:

1. Gifts to the University of cash or property that will be under the control, or will directly support the teaching or research activities, of a faculty member from an outside entity in which the faculty member or immediate family member has a significant financial interest;
2. sponsored-project proposals as to which the involved faculty member or immediate family member has a significant financial interest in the proposed sponsor or in a proposed subcontractor, vendor or collaborator;
3. University technology-licensing arrangements with an outside entity in which the faculty inventor or immediate family member has a significant financial interest;
4. procurement of materials or services from an outside entity in which the faculty member or immediate family member has a significant financial interest, if the faculty member is personally involved in or



has the ability to influence the formation or implementation of the procurement transaction; and

5. submission to an external sponsor of an application for funding of University research in the design, conduct or reporting of which a faculty member plans to participate that would reasonably appear to affect the faculty member's or immediate family member's interest in an outside entity or would reasonably appear to affect the entity's financial interests.

A faculty member who seeks funding from or who works on a project funded by an external sponsor must comply with that sponsor's additional requirements, if any, related to disclosure, management, and avoidance of conflicts of interest.

**C. Ongoing and elective disclosures.** In addition to disclosures required under Section III.B., faculty members shall disclose to the department chair (or, where applicable, head of other pertinent academic unit) or dean on an ad hoc basis current or prospective situations that are likely to raise questions of reportable conflict of interest under this Policy, including any new reportable significant financial interests, as soon as such situations become known to the faculty member. In addition, a faculty member may elect to disclose voluntarily other financial benefit to the faculty member or immediate family member, related to an existing or contemplated relationship between the University and an outside entity with which the faculty member or immediate family member is or expects to be involved, if the faculty member deems it desirable to seek review in accordance with the procedures specified in Section IV.

#### **IV. PROCEDURES FOR REVIEW**

##### **A. Review of disclosure form; management of disclosed conflicts.**

1. Faculty members shall supply the annual and ad hoc disclosures required by Section III on the annexed Disclosure Form, for confidential review by the Administration. Each dean shall forward to the Vice President a copy of the faculty disclosure forms, any related material submitted by a faculty member, and the dean's recommendation for action.
2. If the dean, with the concurrence of the Vice President, determines that the conduct disclosed is permissible under this Policy, the faculty member shall be so informed in writing. Guidance on types of conduct approved shall be provided the faculty from time to time, without identifying faculty members who received approval.
3. If the dean or the Vice President determines that the conduct may present an actual conflict of interest, or reasonably appears to present

a significant potential for such a conflict of interest, within the scope of this Policy, conditions or restrictions to manage or prohibit the conflict, agreeable to the Vice President, may be imposed. Such conditions or restrictions may include, but are not limited to: Public disclosure of significant financial interests; monitoring of research by independent reviewers; modification of the research plan; disqualification from participation in all or part of an externally funded research project; divestiture of significant financial interests; and severance of relationships that create actual or reasonably apparent conflicts of interest.

4. It is not the object of this Policy to discourage outside activities by faculty that present no actual or reasonably apparent conflict of interest within the scope of this Policy. Instead, the review process is designed to allow faculty members to undertake permissible activities without concern about later criticism, to provide the University accurate information about those faculty activities, and to be fair to all involved.

**B. Procedures for resolving disputes about conflicts.**

1. If a dean learns from a faculty member or otherwise of conduct the dean believes presents a significant question under this Policy, the dean should discuss the conduct with the faculty member; shall relate his or her findings to the Vice President, and subject to the concurrence of the Vice President shall advise the faculty member whether the conduct (a) is permissible under this Policy without conditions or restrictions; (b) may be undertaken subject to conditions or restrictions as described in Section IV.A.3 above; (c) or should cease, subject to further review. If the dean or Vice President determines that conditions or restrictions should be imposed, the faculty member shall, as the case may be, cease the conduct, accept the conditions or restrictions agreeable to the Vice President, or seek review of the matter by the school's Conflicts Consultation Committee.
2. Any member of the University community ("Complainant") may bring directly to the attention of a school's Committee a probative and not frivolous matter alleged to be reportable under this Policy. A faculty member whose activity has been questioned shall be entitled to know the identity of the person or persons bringing such allegations to the Committee and the full extent of the allegations.
3. A school's Conflicts Consultation Committee shall be composed of at least five faculty members of the school, elected, ordinarily annually, by the faculty of the school. The Committee's function shall be to



conduct a hearing if necessary, to make written findings about any disputed facts, and to write a reasoned recommendation as to whether the conduct entails a reportable conflict of interest under this Policy and whether the conduct may be undertaken subject to conditions or restrictions.

4. The dean, the Vice President, the Complainant or the faculty member may consult a member of the Conflicts Consultation Committee informally, with that member's consent, before the matter is referred to it, to discuss whether a given activity would entail a reportable conflict of interest under this Policy and/or what if any conditions or restrictions would be appropriate, but no such informal advice should bind any party to the process described above. The Committee member who has provided such consultation shall not participate in the hearing or decision.
5. The Vice President shall review the Committee's recommendation, confer with the Dean, and render a formal decision.
6. A faculty member dissatisfied with the Vice President's decision may appeal it to the University Conflicts Resolution Panel ("Panel"), which shall be composed of five faculty members nominated by the Faculty Senate Executive Committee in consultation with the Vice President and elected by the Faculty Senate. Members of the Panel shall ordinarily serve for staggered three-year terms.
7. The Panel shall be bound by the factual findings of the school Conflicts Consultation Committee unless in the judgment of the Panel the school Committee clearly failed to consider important facts submitted to it. Ordinarily there should be no need for a hearing before the University Panel and no augmenting of the factual record.
8. A member of the Panel from the school from whose Committee the appeal is taken may not participate in the appeal. No informal or other ex parte communication with members of the Panel shall be permitted as to a matter that has been or may be brought before the Panel.
9. The Panel shall render its report to the affected faculty member, the dean, and the Vice President. The conclusion of the Panel shall be forwarded to the Administration for final disposition.
10. To the extent that conduct of faculty who are identified in Section I.D.1. is ultimately determined to be impermissible under this Policy, the Vice President may impose sanctions not inconsistent with the substantive and procedural requirements of the Faculty Code.

11. A faculty member whose conduct has been ultimately determined to be permissible under this Policy shall be insulated from school or University sanction for that conduct. However, another faculty member may not rely on an approval that addressed a different faculty member's conduct, as it may have been based on unique circumstances.

**Faculty Member Financial Interest Disclosure**

**Pursuant to The George Washington University Policy on Conflicts of Interest and Commitment**

*(Reportable financial interests are defined in Section III of the University Policy.)*

Faculty Member Name: \_\_\_\_\_

Department/Unit: \_\_\_\_\_

College/Unit: \_\_\_\_\_

I have no reportable financial interest in accordance with Section III of the University Policy.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Or: I am disclosing the following reportable financial interests under Section III of the University Policy and attach supporting documentation (in an envelope marked 'Confidential') that identifies the business enterprise or entity involved and the nature and amount of the interest:

\_\_\_\_\_ Reportable salary or other payment for services.

\_\_\_\_\_ Reportable equity interests.

\_\_\_\_\_ Reportable intellectual property rights.

\_\_\_\_\_ Reportable position in management.

\_\_\_\_\_ Other reportable financial interest.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

**Endorsements:**

I have reviewed the financial interest disclosure and believe that it will be possible to develop and execute, prior to award if applicable, a Memorandum of Understanding to manage, reduce or eliminate any actual, potential, or apparent conflict of interest; and, therefore, I recommend that the University permit the disclosed arrangement and, if applicable, that the proposal be submitted to the agency at this time.

Additional comments:

Department/Unit Head: \_\_\_\_\_  
Signed \_\_\_\_\_ Date \_\_\_\_\_

Additional Comments:

College Dean/Director: \_\_\_\_\_  
Signed \_\_\_\_\_ Date \_\_\_\_\_

**A RESOLUTION REGARDING THE ROLE OF THE AD HOC FACULTY  
COMMITTEE ON THE MOUNT VERNON CAMPUS OF THE GEORGE  
WASHINGTON UNIVERSITY (97/9)**

**WHEREAS, the Faculty Code provides that the "faculty shares with the officers of the administration the responsibility for effective operation of the departments and schools and the University as a whole." It further provides that "the regular, active-status faculty plays a role in decisions on the appointment. . .of members of the faculty. . ." and that the faculty is "entitled to an opportunity to make recommendations on proposals concerning the creation, consolidation, or elimination of departments, institutes, or other academic or research units...." (Faculty Code, Sec. IX.A. pp.15-16); and**

**WHEREAS, it is desirable for both faculty and the University to avoid, whenever possible, problems before they occur; and**

**WHEREAS, the Executive Committee of the Faculty Senate has appointed a faculty committee to work with the administration to ensure a smooth transition for students and academic programs;  
NOW, THEREFORE**

**BE IT RESOLVED BY THE FACULTY SENATE OF THE GEORGE  
WASHINGTON UNIVERSITY**

**That the Faculty Senate calls upon the administration to keep this committee fully informed and to consult, in a timely manner, with the committee on faculty and programmatic plans and actions relating to the Mount Vernon campus of The George Washington University.**

**Executive Committee of the Faculty Senate  
January 23, 1998**

1. The first part of the report is a general introduction to the subject of the study. It discusses the importance of the study and the objectives of the research.

2. The second part of the report is a detailed description of the methodology used in the study. It includes information about the sample size, the data collection methods, and the statistical analysis techniques used.

3. The third part of the report is a discussion of the results of the study. It presents the findings of the research and discusses their implications for the field of study.

4. The fourth part of the report is a conclusion and a list of references. The conclusion summarizes the main findings of the study, and the references list the sources of information used in the research.

5. The fifth part of the report is a list of appendices. These appendices contain additional information that is relevant to the study but is not included in the main body of the report.

6. The sixth part of the report is a list of footnotes. These footnotes provide additional information about the sources of information used in the study and about the methods used in the research.

7. The seventh part of the report is a list of acknowledgments. These acknowledgments thank the individuals and organizations that provided support and assistance during the course of the study.



**ADMINISTRATIVE STANDING COMMITTEES**

February, 1998

THE GEORGE WASHINGTON UNIVERSITY  
Washington, DC

TO: Members of the University Faculty Assembly

FROM: Lilien F. Robinson, Chair *Lilien F. Robinson*  
Executive Committee of the Faculty Senate

RE: Appointments to Administrative Standing and Special  
Committees for the Year 1998-99

At its April and May meetings the Faculty Senate will recommend faculty for presidential appointment to membership on certain Administrative Standing Committees listed below. When the Executive Committee meets in March, it will draw up a list of faculty nominees for approval by the Senate.

If you are interested in volunteering your services--and I urge you to give the matter serious consideration--please indicate your preferences and return this form to:

**FACULTY SENATE OFFICE  
RICE HALL, #305**

**BY MARCH 13, 1998**

Committee on the Judicial System  
Committee on Student Publications  
Committee on University Bookstore  
Forum  
Joint Committee of Faculty  
and Students

Marvin Center Governing Board  
Marvin Center Program Board  
Panel for Student Grievance  
Review Committees  
Safety and Security Advisory Comm.  
University Hearing Board

Name \_\_\_\_\_ Department \_\_\_\_\_ Rank \_\_\_\_\_

Currently serving on the Administrative Committee on: \_\_\_\_\_

Do you wish to be re-elected to this Committee? \_\_\_\_ Yes \_\_\_\_ No

I should like to serve on an Administrative Committee according to my preferences below:

(1st Choice) \_\_\_\_\_

(2nd Choice) \_\_\_\_\_

(3rd Choice) \_\_\_\_\_

I will be available for committee work during the regular academic year \_\_\_\_ Yes \_\_\_\_ No

I will also be available for committee work during at least one of the summer sessions \_\_\_\_ Yes \_\_\_\_ No

I prefer not to serve during 1998-99 \_\_\_\_.

Thank you for your prompt consideration of this matter.

THE WHITE HOUSE  
WASHINGTON, D.C.

MEMORANDUM FOR THE PRESIDENT

SUBJECT: [Illegible]

DATE: [Illegible]

[Illegible text block]

[Illegible text block]

RE: [Illegible]

BY: [Illegible]

[Illegible text block]

[Illegible text block]

[Illegible text block]

[Illegible text block]



**FACULTY SENATE STANDING COMMITTEES**

February, 1998

**THE GEORGE WASHINGTON UNIVERSITY  
Washington, DC**

**TO:** Members of the University Faculty Assembly

**FROM:** Lilien F. Robinson, Chair  
Executive Committee of the Faculty Senate

**RE:** Call for Nominations for Election to Faculty Senate  
Standing Committees, 1998-99 Session

In April, the newly-elected and incumbent Executive Committee of the Faculty Senate will meet jointly "to nominate the members and chairmen of the standing committees and special committees" of the Faculty Senate for the year 1998-99.

We have had an exceptionally strong record of effective shared governance. However, such success is dependent on the willingness of faculty to participate in the process. To that end, my colleagues and I urge you to volunteer for committee service by filling out this form and returning it to:

**FACULTY SENATE OFFICE  
RICE HALL, #305**

**BY MARCH 13, 1998**

Administrative Matters as They  
Affect the Faculty  
Admissions Policy, Enrollment Manage-  
ment and Student Financial Aid  
Appointment, Salary, and Promotion  
Policies (including Fringe Benefits)  
Athletics and Recreation  
Dispute Resolution Committee (3-year term)  
Educational Policy

Faculty Development and Support  
Fiscal Planning and Budgeting  
Honors and Academic Convocations  
Libraries  
Physical Facilities  
Professional Ethics and Academic  
Freedom  
Research  
University and Urban Affairs

Name \_\_\_\_\_ Department \_\_\_\_\_ Rank \_\_\_\_\_

Currently serving on the Senate Committee on: \_\_\_\_\_

Do you wish to be re-elected to this Committee? \_\_\_\_ Yes \_\_\_\_ No

I should like to serve on a Senate Committee according to my preferences below:

(1st Choice) \_\_\_\_\_

(2nd Choice) \_\_\_\_\_

(3rd Choice) \_\_\_\_\_

I will be available for committee  
work during the regular academic  
year \_\_\_\_ Yes \_\_\_\_ No

I will also be available for  
committee work during at least one  
of the summer sessions \_\_\_\_ Yes \_\_\_\_ No

I prefer not to serve during 1998-99 \_\_\_\_.

OFFICE OF THE UNIVERSITY SENATE  
ALBANY, NEW YORK

ALL THE MEMBERS OF THE SENATE  
ALBANY, NEW YORK

THE SENATE OF THE UNIVERSITY OF THE STATE OF NEW YORK  
HAS THE HONOR TO ADVISE YOU THAT THE SENATE HAS  
ADOPTED THE FOLLOWING RESOLUTIONS:

RESOLUTION NO. 1  
PASSED MAY 1, 1955

AT ALBANY, NEW YORK

RESOLUTION NO. 2  
PASSED MAY 1, 1955  
UNIVERSITY OF THE STATE OF NEW YORK  
ALBANY, NEW YORK

RESOLUTION NO. 3  
PASSED MAY 1, 1955

RESOLUTION NO. 4  
PASSED MAY 1, 1955

RESOLUTION NO. 5  
PASSED MAY 1, 1955

RESOLUTION NO. 6  
PASSED MAY 1, 1955

RESOLUTION NO. 7  
PASSED MAY 1, 1955

RESOLUTION NO. 8  
PASSED MAY 1, 1955

RESOLUTION NO. 9  
PASSED MAY 1, 1955

RESOLUTION NO. 10  
PASSED MAY 1, 1955

RESOLUTION NO. 11  
PASSED MAY 1, 1955

RESOLUTION NO. 12  
PASSED MAY 1, 1955